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ENLISTED PERFORMANCE EVALUATION  
IN THE UNITED STATES NAVY  
by  
LT Alan G. Hunt, USN

Thesis  
H94



U. S. Naval Postgraduate School  
Monterey, California

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ENLISTED PERFORMANCE EVALUATION IN  
THE UNITED STATES NAVY

By

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Bachelor of Science

University of Missouri, 1958

A Thesis Submitted to the School of Government and Business  
Administration of The George Washington University in  
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of Master of Business Administration

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## CHAPTER I

### THE NEED FOR AND THE PURPOSE OF AN ENLISTED PERFORMANCE EVALUATION SYSTEM

Through the years some form of evaluation system has been used to evaluate the abilities and the performance of enlisted personnel in the United States Navy. This system has progressed from word-of-mouth reputation between commanding officers to our present well-defined method of semi-annual performance evaluations of all enlisted personnel. A formal system of evaluation appears to have begun in the Navy in approximately 1917. Instructions for evaluating personnel and the recording of these evaluations were issued in the form of circular letters issued by the old Bureau of Navigation. From 1920 until the present, instructions have been published in a personnel manual. Chapter II, III, and IV of this paper will trace the development of the evaluation system through the years 1921 to 1966.

There can be no doubt that in an organization as large as the United States Navy an appraisal system of some kind is mandatory. The Navy is a continuously changing organization, personnel are on the move, going to schools, being promoted, sent on special assignments, and leaving the service for civilian life. To select the best personnel for Navy life and for all of its many programs requires a vast amount of effort. Without an evaluation system the task would not be possible.

CHAPTER I

THE STATE OF THE UNION AT THE END OF 1862

AND THE PROSPECT FOR THE FUTURE

THE year 1862 was a year of great interest and activity in the history of the United States. It was a year when the country was divided into two great camps, the Union and the Confederacy, and when the struggle between them was at its height. The year was also a year of great progress in the development of the country, and when the people were beginning to realize the importance of the Union and the need for a strong government. The year was a year of great hope and confidence, and when the people were beginning to believe that the Union would survive and that the country would be united and free.

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The Navy itself, in its instructions concerning the evaluation of personnel, does not give very much emphasis to the importance and need for an enlisted evaluation system. In Section C-7821 of the Bureau of Naval Personnel Manual there are instructions for performance evaluation and the use of the evaluations. The stated purpose of the performance evaluation system is:

(a) To determine eligibility of an individual for reenlistment, for honorable discharge, and for award of Good Conduct Medals.

(b) To permit the commanding officer to influence positively the advancement opportunities of outstanding individuals.

(c) By various selection boards which review enlisted service records in order to select personnel for advancement, appointment to commissioned status, assignment to special duties, and for special educational programs.<sup>1</sup>

However, it will be seen that the evaluation system is used for many more purposes than those listed above. Even the amount of money a man is paid can in some cases be affected by his performance marks.<sup>2</sup>

In many publications and instructions other than the aforementioned Bureau of Naval Personnel Manual there are found numerous uses of the enlisted man's performance evaluations. Probably the use most often made of evaluation marks, and the most important use, is in determining who is to be promoted throughout the Navy. The advancement or promotion procedures of enlisted personnel are described in more detail in Chapter IV, and this important use of marks is evaluated in Chapter V.

---

<sup>1</sup>U. S., Navy, Bureau of Naval Personnel Manual, Sec. C-7821, 1959.

<sup>2</sup>U. S., Navy, Bureau of Naval Personnel, BuPers. Instruction 1133.18, "Variable Reenlistment Bonus."



Under paragraph C, Section C-7821, of BuPers Manual quoted above, fit a multitude of assignments and programs. The following assignments all require approval or selection by selection boards in the Bureau of Naval Personnel: recruiting duty; instructor duty; overseas assignment duty; duty in Naval missions and attaches; duty at NATO commands; leadership team duty; assignment to Armed Forces Police; submarine duty; assignment to nuclear power schools and to duty aboard nuclear powered commands; and assignment to new construction. The one most important item considered by the selection boards for the above assignments is the record of performance evaluation.<sup>3</sup>

Numerous other publications and instructions refer to the use of performance evaluation marks as part of the requirement of the program or assignment described. Some of the more important programs relying heavily on performance evaluation marks for selection of candidates are listed below:

- Change in rate and rating (BuPers Instruction 1440.5D)
- Naval Enlisted Scientific Education Program (BuPers Instruction 1510.69)
- Selective training and retention program (STAR) (BuPers Instruction 1133.13B)
- Selective conversion and retention program (SCORE) (BuPers Instruction 1440.27A).

---

<sup>3</sup> U.S., Navy, Bureau of Naval Personnel, "Enlisted Transfer Manual," NavPers 15909A, March, 1960.



James Buchanan, 1803-1868, 12th President of the United States

James Buchanan was born in 1791 in the town of Mercersburg, Pennsylvania. He was a member of the Presbyterian Church and a member of the American Revolution. He was a member of the American Revolution and a member of the American Revolution. He was a member of the American Revolution and a member of the American Revolution.

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James Buchanan

- James Buchanan (1791-1868)
- James Buchanan (1791-1868)
- James Buchanan (1791-1868)
- James Buchanan (1791-1868)
- James Buchanan (1791-1868)

As can be seen, the evaluation of enlisted men is a most important job; it must help the Navy to select the proper personnel to fill the multitude of special jobs and assignments throughout the Navy; it is a major factor in the promotion system--i. e. , evaluations determine to a large degree who the future leaders or senior petty officers are going to be, as well as which enlisted personnel become inputs to the various officer candidate programs. The proper functioning of an evaluation system helps to determine the quality of the Navy as a whole and its effectiveness in the defense of the United States.

One of the requirements for the successful operation of an evaluation system is the acceptance by both those persons rating and by those being rated. Throughout the past 35 years the Navy has had a formal evaluation system for enlisted personnel, and throughout this period there has been considerable dissatisfaction among personnel in the fleet with the operation of the system. This writer has seen several letters written to the Bureau of Naval Personnel expressing dissatisfaction with the present system of evaluation and recommending certain changes and/or improvements. Today, letters are still being written complaining about the evaluation system.<sup>4</sup> In this paper the evaluation system in use today will be traced from its inception to the present time and will be critically analyzed to determine whether it is doing its job properly and how it could be improved.

---

<sup>4</sup>U. S. , Navy, Bureau of Naval Personnel, All Hands Magazine, February 1966, No. 589, p. 26.





At this time it is appropriate to look briefly at some of the general characteristics of a good rating instrument and to keep these characteristics in mind throughout the ensuing discussions in the remaining chapters of this thesis.

No matter what basic type of rating instrument is used, there is one primary characteristic that must exist if the entire evaluation program is going to be successful. This prime characteristic of a good rating instrument is often forgotten in an attempt to satisfy other less important items. The rating instrument must provide for recognition of the exceptional individual; it must be a reliable measure of performance.

The rating instrument or form must be geared directly to the needs of the organization using the form. This rating instrument should be based on job analysis. The traits should be expressed in terms that are familiar and meaningful to those using it. The terms and language used in the form should be drawn directly from the personnel to be measured or evaluated. The final selection of terms or traits to be used in the evaluation process should be arrived at by scientific, proven procedures, such as factor analysis.

As was mentioned earlier in this chapter, a rating instrument must be accepted. For the form to be effective and the entire evaluation program to be successful, there must be belief in the form and the function it is trying to serve. If the rater has an understanding of the rating form and its purpose, he will give more thought and effort to its preparation. In like

It was found in a comparison of the results of the 1954  
 investigation with the 1952 investigation that the results of the 1954  
 investigation were more favorable to the existing situation  
 of the island.

For the purpose of this study, a series of interviews were conducted  
 with the islanders and the results of the 1954 investigation were  
 found to be favorable. This series of interviews was conducted in  
 order to obtain information on the islanders' views on the  
 existing situation and on the proposed changes. The results of the  
 interviews were found to be favorable to the existing situation.

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 existing situation on the island. This series of interviews was  
 conducted in order to obtain information on the islanders' views  
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manner, the ratee will be influenced in his performance by a rating instrument and system that he understands and has learned to accept.

A good rating instrument should show consistent results when evaluations are immediately repeated or when more than one rater equally familiar with the ratee submit concurrent evaluations. The instrument should minimize any human errors, biases, or prejudices and should show minimum effect when used by persons of different personal standards.

The rating form should include some feature or built-in device to counteract the universal tendency of marks to become higher and higher the longer the system remains in use. This built-in device, either in the rating form itself or in review procedures, must also force the evaluations to spread out along the marking scale in conformance to an average or bell-shape curve. If this is not accomplished, there can be no real or distinct difference of performance recorded when men engaged in the same technical areas and on the same hierarchical level are evaluated at the same time.

The rating instrument must be simple and easy to fill out. The completion of the rating instrument must not take excessive time, as time means expense. The form must be practical--that is, the rater should not have to undergo a great amount of instruction or training in the application of the rating form. The results of the rating process must be economically obtained, recorded, and summarized.



An important feature of a rating instrument in an organization as large as the Navy is that the total or overall score or evaluation should be expressed in numerical terms. This facilitates the rapid comparison of the performance evaluations of large numbers of personnel with a minimum of expense and effort.

In addition to fulfilling its role as a reporting instrument, the rating form should also be suitable for use as an aid in the counseling or development of the personnel evaluated. The form and the evaluation process must be easily explainable to the ratee so that he may quickly see where training or improvement is needed.

The next chapter will review early efforts of the Navy Department in establishing a service-wide system of enlisted performance evaluation.

<sup>1</sup>U.S. Navy, Bureau of Navigation, Enlisted Personnel Evaluation, Washington: Printing Office of the Navy, 1950.

<sup>2</sup>U.S. Navy, Bureau of Naval Personnel, The Navy Enlisted Rating System, NAVPERS 1450, 1, 1.

An important element of a valid instrument is its organization. It is important that the instrument be organized in such a way as to present the facts in a logical and systematic manner. The organization of the instrument should be such that the facts are presented in a clear and concise manner, and that the facts are presented in a logical and systematic manner. The organization of the instrument should be such that the facts are presented in a clear and concise manner, and that the facts are presented in a logical and systematic manner.

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## CHAPTER II

### PERFORMANCE EVALUATION IN THE UNITED STATES NAVY PRIOR TO DEVELOPMENT OF THE 1956 SYSTEM

Prior to the establishment of the Bureau of Naval Personnel, all directions and instructions concerning personnel matters were the responsibility of the Bureau of Navigation. On January 1, 1920, the Bureau of Navigation issued its Instructions Governing the Handling of Enlisted Personnel. This volume, later to be called the Bureau of Navigation Manual, was the forerunner of the present-day Bureau of Naval Personnel Manual. Sections 7500 through 7536 of the manual were concerned with "Record of Performance of Duty." The purpose of the instructions was to serve "as a guide to the service in order to secure uniformity in marking the service records of enlisted men and in the award of discharge."<sup>1</sup>

Full discretion was left to commanding officers to make exceptions to the rules and procedures set forth to suit unusual individual cases. So far as can be determined, this system of evaluation was not originally based on research of any type.<sup>2</sup>

---

<sup>1</sup> U. S. , Navy, Bureau of Navigation, Instructions Governing the Handling of Enlisted Personnel, p. 118, para. 7500.

<sup>2</sup> U. S. , Navy, Bureau of Naval Personnel, The Navy Quarterly Marks System, NAVPERS 18396, p. 1.

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Enlisted personnel were to be marked each three months and the resulting quarterly marks were to be entered in the individual's service record after approval of the executive officer. The marks were to be initially assigned by division officers after consultation with warrant officers or senior petty officers for whom the man worked. Personnel were to be assigned marks in obedience, sobriety, proficiency in rating, and, depending on a man's rating, in seamanship and/or mechanical ability. In addition men of all ratings except landsmen, apprentice seamen, firemen, and mess attendants were to be given marks for "ability as leaders of men." These marks were to be assigned on the maximum of 4.0, using the following scale:

0 . . . . .	Bad
1.0 . . . . .	Indifferent
1.5 . . . . .	Fair
2.5 . . . . .	Passing
3.0 . . . . .	Good
3.5 . . . . .	Very Good
4.0 . . . . .	Excellent

Proficiency in rating was described as the summation of all the various elements that go to make up the service character of the enlisted man. This mark was to indicate the man's overall value to the service in his particular rating. Proficiency in rating depended upon the other marks







but was not to be an average of them. This one mark was intended in itself to denote a man's ability, habits, and character.

Tables in Sections 7520 and 7521 of the Bureau of Navigation Manual listed the requirements necessary to receive each grade from 1.0 to 4.0. There were separate tables for petty officers and for men of lower ratings. Table 1 (page 11) gives the rating scale applicable to all petty officers regardless of rating. Table 2 (page 12) gives a similar scale used as a guide in marking men of the lower ratings.

Sections 7530 through 7535 in the instructions listed mark criteria under special circumstances. Lower marks in obedience and sobriety were specified for various offenses involving absence over leave and being under the influence of liquor or harmful or habit-forming drugs. Lower marks in obedience were specified for men receiving punishment by either Captain's Mast or by court martial. These generally involved lowering the obedience mark to not more than 1.0, and if sobriety were involved in the offense, lowering the sobriety mark also to not more than 1.0.

Marks were to be directly recorded in the man's service record. Evidence that an evaluation sheet or marking sheet existed at this time was not found.

The marks recorded in the man's service record were to be averaged at the expiration of his enlistment to determine whether he were eligible for an honorable discharge, to determine eligibility for good-conduct





TABLE 1

## PETTY OFFICER RATING SCALE

To receive a mark of	Requirements		
	In Proficiency in Rating	In Sobriety	In Obedience
4.0	Competent, thoroughly reliable, attentive, energetic, forceful. Not less than 3.5 each in sobriety and obedience.	No offense against sobriety, no evidences of drinking or drug habits.	No offenses; exemplary in conduct, bearing, and uniform; good influence in the ship; on first or special first conduct class throughout.
3.0	Distinctly above the average in being satisfactory and reliable in his rating; and having not less than 3.0 each in sobriety and obedience.	Not more than one minor offense against sobriety during the quarter such as returning from liberty unfit for duty, but quiet, clean, and on time.	Conduct positively good, with no offense other than that under sobriety, or one minor offense of another nature; no leave-breaking offense.
2.5	Sufficiently good to retain in rating provided sobriety and obedience be each 2.5 or better.	Good, but uncertain enough to render advancement doubtful with decided improvement.	Minor offenses only; or a repeated minor offense of leave breaking; or a first offense of not more than three hours overleave; or a deck court sentence involving loss of pay only.
1.5	Sufficiently good to retain in rating only if there is shown a real prospect of immediate decided improvement with more experience, provided sobriety and obedience be each 3.0 or better; otherwise unfit for retention in rating.		
1.0	Unfit for rating for any cause.	Unreliable as a petty officer on acct. insobriety	More serious offenses of the kind indicated above.

Source: U.S., Navy, Bureau of Navigation, Instructions . . ., op. cit., para. 7520.



TABLE 2

## RATING SCALE FOR MEN LOWER THAN PETTY OFFICER

To receive a mark of	Requirements		
	In proficiency in Rating	In Sobriety	In Obedience
4.0	Competent, thoroughly reliable, attentive, energetic in rating and as a leading hand; satisfactory in sobriety and obedience.	No offense against sobriety . . .	No offenses; exemplary in conduct, bearing, and uniform; on first or special first conduct class.
3.0	Distinctly above the average in being satisfactory and reliable in his rating.	Not more than one minor offense against sobriety during the quarter such as returning from liberty unfit for duty, but quiet, clean, and on time.	No leave breaking; minor offenses only.
2.5	Sufficiently good in the qualities above to justify advancement to fill a petty officer rating.	Satisfactory . . .	Not more than one repeated offense of leave breaking of not more than 3 hours; or a first offense of between 3 and 6 hours overtime; or a sentence by a deck court to loss of pay only; no serious offense of any kind.
1.5	Sufficiently qualified to retain rating.	Uncertain as to sobriety, but with evident purpose to improve.	
1.0	Unfit for rating for any cause . . .	Unreliable on acct. of insobriety.	More serious offense than those above.

Source: U. S., Navy, Bureau of Navigation, Instructions . . ., op. cit., para. 7521.



# EXHIBIT 2

## REPORT OF THE BOARD OF DIRECTORS OF THE COMPANY

FOR THE YEAR ENDING 1999

1. Name of the Company

2. Nature of the Business

3. Name of the Director

4. Address

5. Name of the Director

6. Nature of the Business

7. Name of the Director

8. Address

9. Name of the Director

10. Nature of the Business

11. Name of the Director

12. Address

13. Name of the Director

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47. Name of the Director

48. Address

49. Name of the Director

50. Nature of the Business

51. Name of the Director

52. Address

53. Name of the Director

54. Nature of the Business

55. Name of the Director

56. Address

medals and for reenlistment. The following marks were established as a minimum for each of the above categories:

- To be recommended for honorable discharge:

<u>Petty Officer</u>	<u>Lower Ratings</u>	<u>In</u>
2.75	2.5	Proficiency in rating
3.5	3.0	Sobriety
3.5	3.0	Obedience

- To be recommended for reenlistment:

<u>Petty Officer</u>	<u>Lower Ratings</u>	<u>In</u>
2.75	2.5	Proficiency in rating
3.0	2.75	Sobriety
3.0	2.75	Obedience

- To be recommended for good-conduct medal:

<u>Petty Officer</u>	<u>Lower Ratings</u>	<u>In</u>
3.5	3.5	Proficiency in rating
4.0	4.0	Sobriety
4.0	4.0	Obedience

In 1921 the Bureau of Navigation Manual was first published. It incorporated all of the instructions concerning personnel. In this new manual the sections dealing with performance evaluation were identical with the sections from Instructions Governing the Handling of Enlisted Personnel, with the exception that the rating of "Landsmen" had been dropped.

In neither the original instructions nor in the Bureau of Navigation Manual are there instructions for using quarterly marks for the purpose of advancement in rate of enlisted men. The commanding officer was given authority for petty officer advancement regardless of the man's performance





marks. The only mention made of marks in this connection is in the tables mentioned earlier. Under the category "In proficiency in rating," the grade of 2.5 is said to be "sufficiently good in the qualities above to justify advancement to fill a petty officer rating."<sup>3</sup>

For appointment to warrant officer, the marks in the man's service record entered into a final multiple, or grade, similar in some respects to the advancement criteria in use today. The score was arrived at in the following way: an examination was given the applicant, both written and practical. The two scores were multiplied by three and added to the average service record mark multiplied by four, the result divided by ten. It can be seen that the performance marks were weighted more heavily than either of the other two test items.

The instructions contained in this manual of 1921 remained in effect without change until 1925 when a new Bureau of Navigation Manual was published. This new manual was similar to the 1921 issue concerning the evaluation of the performance of enlisted personnel. Some of the more significant changes are noted below.

The entire process of enlisted performance evaluation was given more importance. The general discussion on evaluation stresses that extreme care was to be taken by all concerned to see that marks entered in the service record were a "correct and just estimate of the ability,

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<sup>3</sup> U. S. , Navy, Bureau of Navigation Manual, 1921.



character, and worth of the man concerned."<sup>4</sup> Commanding officers were cautioned not to allow the assignment of marks to become perfunctory in the slightest degree because of the importance of these marks in determination of the character of discharge and for selection for advancement.

The instructions required that a single mark in conduct rather than obedience and sobriety be assigned, and that this conduct mark be assigned for all periods. Other marks, such as the one for proficiency in rate, need not be assigned if the period of observation were less than one month or in such cases as patients in hospitals or students undergoing courses of instruction at service schools.

In the computation of the man's final marks to be used in determining if he were eligible to receive an honorable discharge, the entire marks of the first year of his service were to be disregarded.

Probably the most significant change in the new manual was the increased emphasis on the use of performance marks in determining a man's eligibility for promotion. The manual now spelled out certain requirements as to marks in proficiency in rate and in conduct that had to be met before a man could be promoted. These requirements were minimum marks only and marks superior to those required as a minimum were of no additional value. The restrictions were as follows:

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<sup>4</sup>U. S. , Navy, Bureau of Navigation Manual, 1925, para. 08019.



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<u>For Promotion To:</u>	<u>Proficiency in Rating</u>	<u>Conduct</u>
Chief Petty Officer	No mark less than 3.0, average 3.5 for last two years.	Same as at left.
1st and 2nd Class Petty Officer	No mark less than 3.0, Average 3.5 for last one year.	Same as at left.
Lowest Petty Officer	No mark less than 2.5 in last 12 months, preceding quarter to be 3.5 or more.	Same as above.

In order to accommodate the change from marking men separately in obedience and sobriety to one mark in conduct, a new table of standards or guidelines was incorporated in the 1925 manual. As in the previous table separate standards were set forth for petty officers and for men of the lower ratings. The standards for the new mark in conduct were basically a combining of the obedience and sobriety columns in the old table. The combining of the marks in obedience and sobriety also necessitated a new table of standards for discharge, reenlistment and good-conduct medals. The new standards were as follows:

- To be recommended for honorable discharge:

Proficiency in rating . . . . .	3.0
Conduct . . . . .	3.25

- To be recommended for reenlistment:

Proficiency in rating . . . . .	2.75
Conduct . . . . .	3.0

- To be recommended for good-conduct medal:

Proficiency in rating . . . . .	3.5
No offenses or qualifying remarks entered in record.	



This 1925 manual remained in effect with only minor changes and additions until the Bureau of Navigation was dissolved in 1942.

It is interesting to note that during the period 1920 to 1942 the enlisted evaluation system underwent only one significant change while during the same period officer fitness reports were undergoing a major change on the average of one every two years.<sup>5</sup>

In May of 1942 the Bureau of Naval Personnel was created and the Bureau of Navigation dissolved.<sup>6</sup> The newly created Bureau of Naval Personnel immediately published its first Bureau of Naval Personnel Manual. This was almost an exact copy of the 1925 Bureau of Navigation Manual. Paragraph D-8018 stated that in time of war quarterly marks should be discontinued and semi-annual marks substituted.

It is interesting to note that during this period of national emergency and mobilization the minimum standards for honorable discharge and reenlistment were lowered by .25. The requirement for receiving a good conduct medal, however, remained the same, no offenses and 3.5 for proficiency in rating.

The 1942 manual remained in effect without major change throughout the war years and for three years thereafter.

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<sup>5</sup>U.S., Navy, "History of the Officer Fitness Report," NAVPERS 18494, 1956, pp. 1-5.

<sup>6</sup>General Services Administration, United States Government Organization Manual, 1965-66, p. 192.



This 1957 account remained in effect until 1961 when it was replaced.

and it was until the Bureau of Statistics was founded in 1961.

It is interesting to note that during the years 1955-1956

collected statistics system underwent only one significant change with the  
the two main sections of the 1955-1956 system being reorganized in a more compact  
on the average in one month's time.

In 1957-1958 the Bureau of Statistics was reorganized and the

based on the previous structure. The newly created Bureau of Social Eco-

nomics (formerly combined the two former social and economic divisions).

This was almost the last of the 1955-1956 Bureau of Statistics changes.

Paragraph 14-15 states that in view of the rapidly changing situation

the Bureau had been unable to make a complete

It is interesting to note that during this period in building structures

and reorganization the various agencies for economic statistics and other

information were limited to 15. The reorganization for economic and social

social, however, remained the same, as indicated by the 1955-1956

table.

The 1957 account remained in effect until 1961 when it was replaced

the was replaced and the new system was adopted.

<sup>1</sup> U.S. Bureau of Economic Warfare, "The Economic Warfare Division," 1945-1950, 1950, 1950, 1950.

<sup>2</sup> Bureau of Economic Warfare, "The Economic Warfare Division," 1945-1950, 1950, 1950, 1950.



In 1948 the Bureau of Naval Personnel published a new and revised edition. In this new manual more emphasis was given to the entire process of enlisted evaluation. The standards to be used as a guide in assigning marks were now based on five objective traits: proficiency in rate, seamanship, mechanical ability, leadership, and conduct. This was different from the prior instructions which were based on only the two traits--proficiency in rating and conduct. Again there were separate standards to be used for petty officers and men in the lower ratings. These standards as published in the form of a rating table in the manual were of considerable help in rating personnel. The standards for petty officers and for men of lower ratings are shown in Tables 3 and 4, following.

These standards or marking guides were used as an aid in determining the marks to be entered in the enlisted man's service record without change throughout the life of the 1948 manual and were also used in the 1952 manual until the implementation of a totally new system in 1956. The new marks were given increased emphasis in determining advancement eligibility. The manual now set forth specific requirements for minimum marks for a man to become eligible for advancement. Only the proficiency in rate and the conduct marks were considered in determining this eligibility. The length of time for which the marks were considered increased as the man climbed the advancement ladder.

15 1948 the British Government had decided to withdraw its forces from the Middle East.

16 In this case, the British Government had decided to withdraw its forces from the Middle East.

17 It was decided to be done in a series of stages.

18 The first stage was to withdraw the British forces from the Middle East.

19 The second stage was to withdraw the British forces from the Middle East.

20 The third stage was to withdraw the British forces from the Middle East.

21 The fourth stage was to withdraw the British forces from the Middle East.

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30 The thirteenth stage was to withdraw the British forces from the Middle East.

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33 The sixteenth stage was to withdraw the British forces from the Middle East.

34 The seventeenth stage was to withdraw the British forces from the Middle East.

35 The eighteenth stage was to withdraw the British forces from the Middle East.

36 The nineteenth stage was to withdraw the British forces from the Middle East.

37 The twentieth stage was to withdraw the British forces from the Middle East.

38 The twenty-first stage was to withdraw the British forces from the Middle East.

39 The twenty-second stage was to withdraw the British forces from the Middle East.

40 The twenty-third stage was to withdraw the British forces from the Middle East.

TABLE 3

## STANDARDS FOR PETTY OFFICERS

Marks	Proficiency in Rate	Seamanship	Mechanical Ability	Leadership	Conduct
4.0	Competent, thoroughly reliable, attentive, energetic, forceful.	Well educated in nautical knowledge of the practical school; always prepared for eventualities.	Definitely superior in understanding of mechanical matters; facile in making mechanical repairs.	Forceful and commanding; sets good example; leads rather than drives; 4.0 conduct; gets jobs done.	No offenses; exemplary in conduct, bearing and uniform; good influence on the ship.
3.5	Competent and qualified in all duties of rate; has qualities sufficient to justify advancement. Not less than 3.5 in conduct.	Well qualified in nautical matters; resourceful in taking corrective action in matters pertaining to seamanship.	Very good in working on mechanical equipment in overhaul and repair work.	Very good in knowledge of leadership; performs leadership duties in highly satisfactory manner.	Conduct positively good; no leave-breaking offense; not more than one minor offense in sobriety or of other nature.
3.0	Competent and reliable in duties of billet of appropriate rate. Not less than 3.0 in conduct.	Adequately qualified in nautical matters; dependable in matters pertaining to seamanship.	Adequate and competent in working on mechanical equipment in overhaul and repair work.	Adequate as a leader; performs leadership duties in satisfactory manner.	Minor offenses only; including one leave-breaking of less than three hours.







TABLE 3--Continued

Marks	Proficiency in rate	Seamanship	Mechanical Ability	Leadership	Conduct
2.5	Barely satisfactory to perform duties of rate. Not less than 2.5 in conduct.	Only satisfactory in practical knowledge of nautical matters.	Only passing in mechanical knowledge and in working with mechanical apparatus.	Barely satisfactory in leadership duties.	Minor offenses only, including repeated leave-breaking or leave-breaking of not more than three hrs (total)
2.0	Not fully reliable; sufficiently good to retain in rate only if immediate and decided improvement is shown and has 3.0 or better in conduct.	Inadequate in practical nautical knowledge.	Inadequate in working with tools or machinery.	Inadequate in duties required of a leader.	Unsatisfactory, more serious offenses either in sobriety or of other nature.
1.5	Unfit for retention in present rate.	Definitely unsatisfactory in the knowledge and performance of nautical duties.	Definitely unsatisfactory in working with tools on machinery or in mechanical knowledge.	Shows unreliable qualities in performing leadership duties.	Unreliable by any standards.
1.0	Definitely unfit for duties of rate.	Has practically no knowledge of nautical duties; if known, cannot perform such duties.	Has practically no knowledge of mechanics; if known, cannot perform such duties.	Shows distinctly unreliable qualities in performing leadership duties.	Serious offenses.



TABLE 4

## STANDARDS FOR MEN BELOW PETTY OFFICER RATE

Marks	Proficiency in rate	Seamanship	Mechanical Ability	Leadership	Conduct
4.0	Competent and reliable in rate. Not less than 3.5 in conduct.	Competent and reliable in knowledge of nautical duties and in carrying out such duties.	Competent and reliable in knowledge of mechanical duties and in practical application.	Shows excellent qualities of performing leadership duties.	No offenses; exemplary in conduct, bearing, and uniform.
3.5	Competent and qualified in all duties of rate; has qualities sufficient to justify advancement. Not less than 3.5 in conduct.	Well qualified in the knowledge and performance of nautical duties.	Very good in working on mechanical equipment in overhaul and repair work.	Shows very good qualities in performing leadership duties.	No leave breaking; minor offenses only; not more than one offense in sobriety.
3.0	Competent in rate. Satisfactory in conduct.	Adequately qualified in the knowledge and performance of nautical duties.	Adequate and competent in working on mechanical equipment in overhaul and repair work.	Shows adequate qualities in performing leadership duties.	Satisfactory; no repeated leave breaking; not more than one offense in sobriety.
2.5	Barely satisfactory to perform duties of rate.	Satisfactory in the knowledge and performance of nautical duties.	Only satisfactory in mechanical knowledge and in working with mechanical apparatus.	Shows only satisfactory qualities in performing leadership duties.	Satisfactory only.







TABLE 4--Continued

Marks	Proficiency in Rate	Seamanship	Mechanical Ability	Leadership	Conduct
2.0	Sufficiently good to retain in rate only if immediate improvement is shown.	Inadequate in knowledge and performance of nautical duties.	Inadequate in working with tools on machinery	Shows inadequate qualities in performing leadership duties.	Repeated minor offenses showing general unreliability.
1.5	Unfit for retention in present rate.	Definitely unsatisfactory in the knowledge and performance of nautical duties.	Definitely unsatisfactory in working with tools on machinery or in mechanical knowledge.	Shows unreliable qualities in performing leadership duties.	Unreliable by any standards.
1.0	Definitely unfit for duties of rate.	Has practically no knowledge of nautical duties; if known, cannot perform such duties.	Has practically no knowledge of mechanics; if known, cannot perform such duties.	Shows distinctly unreliable qualities in performing leadership duties.	Serious offenses.



For advancement to chief petty officer, permanent appointment, the requirements were: conduct, 4.0; proficiency in rate, seamanship, mechanical ability and leadership, all 3.5 or above for a period of one year. This requirement appeared to be the only instance in which the seamanship and mechanical ability marks were used administratively.

In 1950 and 1951 a new method of grading and a form called NAVPERS 1339 were introduced as a trial basis for the grading of first class and chief petty officers.<sup>7</sup> This form, reproduced in Appendix C, was similar in nature to the officer fitness report. The reports were to be submitted only twice, each report covering a six-month period. The stated purpose of the new form was two-fold: to provide a basis for selecting personnel for special assignment, for promotion to warrant officer or limited duty officer status, and for the purpose of determining whether the present quarterly marking system in the case of chief petty officers and first class petty officers should be revised. This statement was the first official indication that the present quarterly marks system of evaluation was not considered completely adequate. Comments were invited from the fleet on the desirability of continuing the use of this evaluation sheet.

The evaluation sheet, NAVPERS 1339, was used for only the initial one-year period as a marking sheet for all chief and first class petty officers. Its use was retained, however, for special purposes, such as

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<sup>7</sup>U.S., Navy, Bureau of Naval Personnel, All Hands Magazine, April, 1950, p. 47.











### CHAPTER III

#### DEVELOPMENT OF THE ENLISTED PERFORMANCE

#### EVALUATION SYSTEM OF 1956

As has been seen in the previous chapter, the quarterly marks system in use in the early 1950's had existed in substantially the same form since 1920. This system, so far as is known, was not originally based on actual research, nor was its effectiveness as a means of evaluation ever subjected to analysis.

As a direct result of complaints from fleet personnel, both those who used the quarterly marks and those who made them, that the entire system was inadequate, the Bureau of Naval Personnel directed the U. S. Naval Personnel Research Field Activity in San Diego, California, to undertake a preliminary study to determine the major shortcomings of the present evaluation system. This study was to be background information necessary to revise the quarterly marks rating system for enlisted personnel.<sup>1</sup>

The Research Activity used three approaches to obtain the information necessary in the assignment. They reviewed research studies dealing with military evaluation systems, reviewed official Navy directives dealing with the quarterly marks system, and conducted interviews with officers and

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<sup>1</sup> U. S. , Navy, Bureau of Naval Personnel Research Report 54-5,  
"The Navy Quarterly Marks System," 1954, p. 1.





enlisted men familiar with actual opinions of the quarterly marks system.

Concerning the first approach, the Research Activity found that the Navy had done very little research in the field of enlisted evaluation. Studies concerned with officer rating systems were reviewed, but they were only of limited value because of the difference between the duties and responsibilities of officers and enlisted men.

The most important part of the study was the interviews with the officers and men that were directly concerned with the operations of the system. Of the men interviewed, three-fourths responded unfavorably when asked how useful they thought the system was in carrying out its stated purposes. The complaints about the system and suggestions for improvement did point out that there was a genuine need for an evaluation system and that revision of the system in use was required.

Some of the more important items brought to light during the course of the interviews were:

1. Obsolescence or irrelevance of seamanship and mechanical ability as separate subjects for quarterly marking.
2. Lack of satisfactory standards for making subjective judgments.
3. Recommendations that the system be changed from a quarterly to a semi-annual marking period.
4. Recommending the addition of marks on personality traits and military duties rather than proficiency in rate.<sup>2</sup>

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<sup>2</sup>Ibid., p. 36.



The final conclusions of the investigation indicated that a major revision of the system for evaluating enlisted personnel was clearly necessary. It was decided that, rather than attempt revision of the present evaluating methods, a new system and rating instrument should be developed.

The first problem was to determine what aspects of enlisted performance should be measured and what should be the format of the new measuring instrument or form. The solution to this problem was assigned to the U. S. Naval Personnel Research Field Activity in San Diego, California. The results of the Field Activity's work on this problem were published in January, 1956.<sup>3</sup>

In order to obtain the data necessary for the construction of a new rating form, the Field Activity requested division officers and chief petty officers from twenty different ship types and shore stations to write descriptions of three of the best enlisted men they had known and of three of the poorest men they had known. To ensure a broad coverage and to eliminate any tendency for raters to concentrate on personnel of a particular rate, it was requested that persons of different rate be covered in each description. From these descriptions approximately 1,500 phrases were obtained. These phrases were separated into eighteen different categories according to their apparent factorial content. By eliminating duplications,

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<sup>3</sup>U. S. , Navy, Bureau of Naval Personnel, A Factor Analytic Description of the Performance of Enlisted Personnel, NAVPERS 18483, January 9, 1956.



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the number of phrases was reduced to 240. A second sample group of officers and chief petty officers used these 240 items in the form of a check list to describe the performance of enlisted men serving under them. This separate factor analysis of the completed checklist was done to determine the major traits on which enlisted personnel were rated. The two groups differed in that the first group included non-petty officers so all items pertaining to leadership were eliminated. In the first case, four factors were obtained: technical proficiency and knowledge; general impression; military bearing and appearance; and personal relations. In the factor analysis of the second group, five factors were obtained: a general factor; job performance; military bearing and appearance; personal relations; and adjustment to naval service. In both analyses the general impression or general factor obtained the highest degree of factor loading; therefore, it is evident that enlisted personnel tend to be evaluated in terms of an over-all rating. It can be seen that the factors obtained certainly influenced the choice of rating categories when the new rating form, NAVPERS 792, was eventually published. See Appendix A.

In May, 1956, as a result of the studies reviewed above, the Bureau of Naval Personnel took what may be termed the great step forward in enlisted performance evaluation. BUPERS Instruction 1616.4 was issued May 22, 1956. It provided for a new method and procedure for evaluating the performance of enlisted personnel and provided the new rating form or evaluation work sheet, NAVPERS 792. All portions of the Bureau of Naval





Personnel Manual which were in conflict with the instructions were cancelled.

Later, a change was issued and the contents of the instruction were incorporated into the 1952 Bureau of Naval Personnel Manual. The instruction provided for an entirely new system of enlisted performance evaluation, much the same as the system that is in use today. The purpose of the new system was:

. . . to differentiate the outstanding and the excellent from the average . . . to determine a performance multiple for advancement in rate (commencing August, 1957), selection to warrant or commissioned status, selection for special programs, projects, courses of instruction, award of good conduct medal, character of discharge, desirability for reenlistment, reduction in rate for incompetency, and propriety of early separation by administrative discharge.<sup>4</sup>

Evaluations were now to be on a semi-annual basis, the grading to be done on NAVPERS 792 Work Sheet by the division officer and entered into the man's service record. After the marks were recorded in the service record, the work sheet, NAVPERS 792, was no longer needed and was to be destroyed.

Thus, NAVPERS 792 was the heart of the whole evaluation process. This form provided for the man to be rated in five traits: professional performance; military behavior; leadership and supervisory ability; military appearance; and adaptability. What each of the traits was supposed to measure was described above the marking boxes. Each trait provided ten boxes for marks, from highest on the left to lowest on the right. Grading

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<sup>4</sup>U. S. , Navy, Bureau of Naval Personnel, Instruction 1616.4, 1956.





standards were also printed above the marking boxes. No numerical scale was provided on the evaluation sheet, a conversion table was provided as an enclosure to the basic instruction. The table was to be used by "commanding officers and authenticating officers in converting the adjectual marking on the evaluation sheet to a numerical value for recording in the service record."<sup>5</sup> This conversion table, reproduced below, was not to be used by the persons assigning the original evaluation. This was to insure that markings under the new system would not be affected by the marking procedures previously used under the quarterly marks system. The original 4.0 scale was retained, probably to make the new marks compatible with those recorded under the old system.

NavPers 792		
<u>Column No.</u>		<u>Equivalent</u>
1	Left	4.0
	Right	3.8
2	Left	3.6
	Right	3.4
3	Left	3.2
	Right	3.0
4	Left	2.8
	Right	2.6
5	Left	2.0
	Right	1.0

There was only one set of standards or guide for assigning marks that was included as part of the instruction and that was for marks in

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<sup>5</sup> Ibid., Enclosure 5.





military behavior. To augment the standards given on the evaluation form itself, a table was included as Enclosure 4 to the basic instruction. Its purpose was to limit the military behavior marks assigned if a person had been convicted by court martial or commanding officer's non-judicial punishment. In case of non-judicial punishment, the highest mark obtainable was 3.2; in the case of more than one non-judicial punishment or conviction by any court martial, 2.8 was the highest grade obtainable.

There was then a workable system of performance evaluation, all included on one sheet of paper. Division officers were given a sheet for each man twice a year. No complicated tables or standards needed to be consulted, each mark could be assigned without dependence on another mark. The confusing "proficiency in rate" or catch-all category had been eliminated, along with the out-dated categories of seamanship and mechanical ability.

In this instruction is first seen the "average crew concept"; that is, the instruction states that the majority of personnel are average and must be graded accordingly. Commands were cautioned against assigning arbitrarily high grades to all men in a particular pay grade, a practice that would lead to deterioration of the promotion multiple system.

This average "crew concept" was emphasized on the evaluation sheet itself. In the marking blocks equivalent to 4.0 and to 1.0 and 2.0 there was an asterisk indicating that a mark in one of these blocks had to be justified in the comment section below the marking blocks.



Since the method of evaluating personnel became a completely new system with the introduction of the NAVPERS 792, the criteria for advancement in rate, reenlistment, good-conduct medal, and type of discharge had to be revised. A new list of criteria for the above purposes, compatible with the new evaluation system, was included as Enclosure 6 to the basic instruction.

No minimum qualifying marks were established for eligibility for advancement in rate; it was left as a command prerogative until the performance multiple system was to become effective in August, 1957.

In order to obtain an honorable discharge, a final average of 3.0 was required and no individual trait average below 2.6 was permitted. This criterion was stricter than that published under the evaluation system, both during and before World War II.

The requirements to be recommended for a good conduct medal were now: no mark in military behavior or military appearance less than 3.0; no convictions by court martial; and not more than one non-judicial punishment in the three-year period considered. These requirements cannot really be compared to the requirements under the previous evaluation system because of the unwritten procedure, under the old system, of evaluating everyone 4.0 in conduct unless they had been convicted by a court martial or non-judicial punishment.

The criteria for reenlistment were broken down into two parts:

(1) first reenlistment and (2) second and subsequent reenlistment. In order



[illegible]

to be eligible for a first reenlistment, a minimum final average of 2.6 and a minimum average of 3.0 in military behavior for the last twelve months were required. The criteria for second and subsequent reenlistment were the same as for obtaining an honorable discharge as listed above. This appears to be the first time that separate criteria were established for first and subsequent reenlistments.

The next chapter will examine the operation of and revisions to the new enlisted performance evaluation from its beginning in 1956 to the present time.

to be applied to a more extensive and systematic study of the  
subject. The present study is a preliminary one, and the results  
are not intended to be taken as final. The study is intended to  
show that the subject is worthy of more extensive study, and  
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## CHAPTER IV

### THE EVALUATION SYSTEM IN USE,

#### 1956 TO THE PRESENT

As was stated in the Bureau of Naval Personnel Instruction 1616.4, one of the primary uses of the marks to be obtained with the new evaluation system was to derive a performance credit for inclusion in a final multiple or score that would determine those personnel to be advanced in rate. The first part of this chapter will be devoted to a sketch of the advancement in rating procedures that were initiated in 1957.

This system to be described is used today and has had very little basic change since its inception. Throughout the years the advancement system has been described and its rules and regulations published in BuPers Instructions of the 1430 series. The instruction currently in effect is BuPers Instruction P1430.7D, published in 1960 and incorporating several changes.

The advancement system governs the advancement in rate of all persons in the Navy to any petty officer grade. Commanding officers are given the authority for examining locally and promoting personnel in the nonrated grades. The advancement of personnel to the petty officer grades is controlled by the Navy-wide advancement system. The first step in the

CHAPTER IV

THE EXAMINATION OF THE

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It was stated in the first chapter that the examination of the state of the country was one of the first things which the government should do. It was also stated that the examination should be made in a systematic manner, and that it should be made in a way which would enable the government to know the state of the country in all its parts. The first part of the examination will be made in a way which will enable the government to know the state of the country in all its parts.

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advancement procedure is the determination of quotas. The Chief of Naval Personnel determines twice a year the maximum number of petty officers that may be promoted in each rating specialty and in each pay grade. This quota determination is actually carried out by the Naval Examining Center for all but Chief Petty Officers, whose control remains within the Bureau. As the quotas are being determined by the Examining Center, the command at the local or activity level is determining which personnel are eligible for recommendation for advancement. To be eligible for recommendation, personnel are required a certain minimum time in rate, completion of technical training courses, and completion of on-the-job training or "practical factors." If a person is eligible in all respects and recommended by his commanding officer, an examination is ordered for him from the Naval Examining Center. Examinations are given twice a year to each pay grade. These examinations include questions pertaining to the man's technical specialty in addition to general military questions. Examinations are returned to the Examining Center for grading. When the examination grade has been determined, it is added as the fifth component of the final multiple that determines who is to be advanced. This final multiple, the heart of the advancement system, is made of weighted credits for total service, for time in present pay grade, for performance, and for any awards or medals the man may have won. The final multiples are the sum of the factors listed below:





<u>Factor</u>	<u>Maximum Credit</u>
Examination Score . . . . .	80.00
Performance . . . . .	50.00
Total Active Service . . . . .	20.00
Service in Pay Grade . . . . .	20.00
Awards . . . . .	10.00

The examination score is simply assigned on a 0 to 80 basis.

One of the factors for advancement is passing the examination, however; so those who fail the examination will not be advanced regardless of the final multiple achieved.

Credits for total naval service and for time in pay grade are computed by equating one point for each year of service (maximum total = 20) and two points for each year in pay grade. The credit for awards is determined from a table in the current 1430 series instruction. Items range from one point for a Navy unit commendation to six points for the Congressional Medal of Honor. A maximum of ten points is allowed, regardless of the number of awards held.

The item in the multiple with which this paper is most concerned--the performance factor--is determined directly from evaluations made under the enlisted performance evaluation system described in the preceding chapter. Not all the person's evaluations are taken into consideration. The evaluations used are those made for actual performance in present pay grade. Marks based on performance in a lower pay grade are not to be used in computing the performance factor. In arriving at the multiple,





performance evaluation marks for the period to be considered are averaged, all five traits being given equal weight. The resultant average is used to enter a table included in the 1400 series instruction. The table converts the raw average performance grade to the 0 to 50 scale employed in the multiple. Any mark below 2.50 yields zero as a performance factor; 2.50 equals 5.00 and the table is linear up to a score of 4.00, which equals a performance factor of 50.00.

The Examining Center arrives at each person's final multiple and, using this score, authorizes promotions to fill the vacancies or quotas determined earlier.

This advancement system has remained in effect with little change up to the present time. It is regarded by many as the best advancement system in the armed forces.<sup>1</sup>

As the new system of performance evaluation and enlisted advancement went into effect, its workings were subject to close scrutiny by the Bureau of Naval Personnel. The primary fear of those in the Bureau concerned with the evaluation system was that the marks would tend to pile up at the upper scale points the longer the evaluation system and form remained in effect.<sup>2</sup> This problem is of common occurrence in performance evaluation of any type and had been well noted in the Navy, both in the prior enlisted performance marks and in the operation of the officer fitness report.

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<sup>1</sup>Interview with Executive Officer, Personnel Research Section, Department of the Army, February 17, 1966.

<sup>2</sup>Interview with Psychological Research Section, Bureau of Naval Personnel, January, 1966.





As early as October, 1956, late in the year the new evaluation system came into being, the Bureau of Naval Personnel issued a notice warning commands about possible undermining of the evaluation system.<sup>3</sup> The Bureau was concerned that inter-unit or inter-command competition in the item "percentage advanced in rate" would tend to influence commands to raise their personnel's performance evaluation marks to higher levels. The notice stated that the goal of the evaluation system was to obtain a positive differentiation between the outstanding and the average and to determine the most capable and deserving individuals to be advanced and that these evaluations must be based solely on the performance of the individual and be free of any command competitive considerations.

In the spring of 1958, in response to numerous inquiries and recommendations regarding the enlisted performance evaluation system, the Bureau of Naval Personnel analyzed the performance factors reported for the fall of 1957 service-wide examinations.<sup>4</sup> This analysis of approximately 125,000 performance factors indicated that the average of assigned trait marks was 3.363 on the 4.0 grading scale, or the equivalent of 30.90 points on the zero to 50 scale used as the performance multiple for advancement in rate purposes. From this sample the Bureau felt that most of the commands were supporting the basic principles set down in the instructions

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<sup>3</sup>U.S., Navy, Bureau of Naval Personnel, BuPers Notice 1616, October 31, 1956.

<sup>4</sup>U.S., Navy, Bureau of Naval Personnel, BuPers Notice 1616, June 25, 1958.





governing the enlisted performance evaluation system. A number of deviations were noted, however, both extremely high and extremely low. As a result, commands were again cautioned that the "average crew concept" must apply to nearly every command and that the only case where deviations from the standard distribution curve would be expected would be in a small minority of commands composed of carefully screened and selected personnel.

To enable the Bureau of Naval Personnel to make a further and more detailed study of the distributions of enlisted performance evaluations, all commands were directed to keep their evaluation work sheet forms, NAVPERS 792, for thirty days after the regular marking date rather than destroying them, as was provided in BuPers Instruction 1616.4 and BuPers Manual, Article C-7821.<sup>5</sup> The Bureau was then to select, by sampling, commands to forward their worksheets to the Bureau for analysis. Those commands not selected or notified could, after the thirty-day period, destroy their worksheets (after marks had been recorded in the service record) in the usual manner. A cross-section of various command types was chosen to avoid distortion through possible oversampling of certain types of ratings and duty stations. Each type of command was represented in the analysis in the same proportion in the sample as in the Navy as a whole. The distribution of the various pay grades in the sample was similar to that in the Navy as a whole. The resulting analysis was conducted on approximately 10 per cent of naval personnel covering three semi-annual marking periods.

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<sup>5</sup>Ibid.





The results of the analysis were published in January, 1960, in Personnel Research Memorandum, Memo 60-1, Personnel Research Division, Bureau of Naval Personnel.

The results of the analysis were encouraging; the evaluation system proved to be working very well. The patterns of marks, although not exactly in conformance with the normal distribution curve and the "average crew concept" prescribed in Article C-7821 of the Bureau of Naval Personnel Manual, did give a completely usable spread of marks. See Appendix E for a comparison of marks recorded and the optimum distribution. The marking patterns did, however, vary in consistent fashion between pay grades. Chief Petty Officers showed the highest average and the least spread, with a decreasing average and an increasing spread in successively lower pay grades. Appendix F shows mark comparison by pay grade. The pattern of marking was relatively the same for all the marking periods analyzed as shown by Appendix E. There was no evidence at this time of the expected tendency of marks to pile up at the upper scale points with continued use.

The results of the analysis were made available to the Navy as a whole in the thought that it would emphasize the interest of the Chief of Naval Personnel in maintaining good enlisted performance marking standards and encourage, by contrast, greater conformity with the prescribed marking standards.





During these years the Bureau of Naval Personnel Manual was revised by minor changes from time to time. The only major change concerning evaluations was the inclusion of the new system of enlisted performance evaluation set forth in BuPers Instruction 1616.4 and described in the preceding chapter. The change consisted basically of incorporation of this instruction directly into the manual.

In 1959 a new edition of the Bureau of Naval Personnel Manual was published. With many minor modifications and changes, this edition of the manual is in effect today. In this year, 1959, a major change in the enlisted evaluation system and the first change in the evaluation form took place. The front and back of the new form, NAVPERS 792 (Revision 1959) is reproduced in Appendix B and may be referred to throughout the following discussion. The change was brought about by the need for more meaningful and up-to-date information in the enlisted man's duplicate service record maintained at the Bureau of Naval Personnel.<sup>6</sup> At the Bureau various selection boards reviewed these enlisted service records in order to select personnel for advancement, appointment to commissioned or warrant officer status, and for assignment to special educational programs and special assignments. The evaluation form, NAVPERS 792, was revised with these factors in mind. The evaluation forms were now to be prepared in duplicate, the original forwarded directly to the Bureau for inclusion in the duplicate service record

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<sup>6</sup>U. S., Navy, Bureau of Naval Personnel, BuPers Instruction 1616.5, June, 1959.





of the individual concerned. This provided up-to-date evaluations each mailing period. The duplicate was to be filed in the service record of the individual maintained at his command. These duplicate forms 792 would provide a chronological listing of billets, tasks assigned, and evaluated performance in these billets for use by the commanding officers in recommending personnel for advancement, special assignment or schooling. This second copy system is in effect today.

To meet these new requirements of the selection boards and to provide the necessary meaningful information in both the original and duplicate service records, the form NAVPERS 792 was changed significantly. The assigning of marks themselves remained unchanged, marks were assigned on the same basis and scale of the five objective traits established on the original evaluation sheet. Just below the marking boxes a new space for description of assigned tasks was provided and below it, a space for evaluation of these assigned tasks. These two additional items helped to fill the requirements of the selection boards for more meaningful information concerning a man's specific jobs and assignments and his performance in them. As in the previous form, space was provided to justify either a 4.0 grade or a grade of either 2.0 or 1.0. The back of the form was now used. As seen in Appendix B, space was provided for record of service schools attended, special qualifications obtained, and any off-duty educational achievements. This gave both the selection boards in the Bureau and the man's commanding officer a brief chronological record of training, special





assignments and achievements. The instructions concerning the use of the newly revised form were incorporated in the new 1959 Bureau of Naval Personnel Manual.

The evaluation system and form described above was used without change until 1965. In that year a minor change to the evaluation form was made and the necessary change to the Bureau of Naval Personnel Manual was issued. The revised form, NAVPERS 792, a copy of which is shown in Appendix D, was nearly identical to the 1959 version, the only change being that under the section "evaluation of performance" there was to be included "a definite statement as to the individual's abilities in self-expression and command, orally and in writing, of the English language."<sup>7</sup> The purpose of this additional evaluation was to provide the selection boards with additional information about applicants to aid in selection for special programs, schooling, and assignments. Also incorporated in change 12 to Section C-7821 of the Bureau Manual was a change in the time of evaluations by pay grade. The schedule for evaluating enlisted personnel was set up as follows:

E-1, E-2, E-3 . . . . .	16 March and 16 September
E-4 . . . . .	16 April and 16 October
E-5 . . . . .	16 May and 16 November
E-6 . . . . .	16 June and 16 December
E-7 . . . . .	16 January
E-8, E-9 . . . . .	16 February

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<sup>7</sup>U.S., Navy, Bureau of Naval Personnel, Bureau of Naval Personnel Manual, Section C-7821, Change 12.





This change from evaluating all the pay grades semi-annually on 16 May and 16 November had a dual purpose. It tended to ease the workload or "paper larder" on leading division petty officers and division officers by spreading out the evaluation process over the year. More important, however, this new system of evaluation by pay grade tended to force the person grading to compare the performance of a man solely against the performance of others in the same pay grade, a factor that the Bureau of Naval Personnel had stressed since the inception of the new system of evaluation in 1956.

This latest change in the manual again stated that recommendation for advancement in rate was a command prerogative and that no minimum qualifying marks had been established. Commands were again warned that rating all personnel very high to help their advancement opportunity would eventually penalize the truly outstanding individual. Requirements as to marks for good conduct medals, to obtain an honorable discharge, or to be eligible for reenlistment, although similar, incorporated a slight increase in the minimum marks required. This increase in minimum marks was the result of now beginning to have higher and higher averages, not because requirements were actually meant to become stricter. The requirements were now as follows:

- Good Conduct Medal -- No mark below 3.0 in any trait within the period of eligibility. (No minimum average mark was required.)
- First Discharge -- Final average of 2.7 and an average of not less than 3.0 in military behavior, plus no General Court Martial





or more than one Special Court Martial. The requirements for second and subsequent discharges were similar.

- **First Reenlistment** -- Final average of 2.7 and a minimum average of 3.0 in military behavior for the last twelve months.
- **Second and Subsequent Reenlistments** -- Requirements the same as for an honorable discharge.

The next chapter will look at the effectiveness of the enlisted evaluation system as it operates today and study some possible methods of improving the operation of the system.

The importance of the performance appraisal in the military is evident in a number of ways. It is a key factor in the promotion process, in the determination of pay, and in the assignment of duties. It is also a means of providing feedback to the individual and of identifying areas for improvement. The military has a long history of using performance appraisal, and it has evolved into a sophisticated system. The military has a number of advantages in the use of performance appraisal. It has a large number of personnel, and it has a high degree of discipline. It also has a long history of using performance appraisal, and it has evolved into a sophisticated system.

There are a number of factors that contribute to the effectiveness of the military performance appraisal system. One factor is the high degree of discipline and the high degree of motivation of the personnel. Another factor is the long history of using performance appraisal, and the evolution of the system into a sophisticated one. The military has a number of advantages in the use of performance appraisal. It has a large number of personnel, and it has a high degree of discipline. It also has a long history of using performance appraisal, and it has evolved into a sophisticated system.

<sup>1</sup> Interview with Psychologist, [Name Redacted], [Location Redacted], [Date Redacted].

the more than 1000 cases of the disease. The symptoms are  
acute and infectious character.

- Virus isolation - Virus is isolated in 2-3 days in culture  
medium at 37°C in primary culture of the cells.
- Serological diagnosis - Serological diagnosis is made  
by the neutralization test.

The next chapter will focus on the clinical features of the disease.

This system is a complex one and needs more detailed studies to improve

the efficiency of the system.



## CHAPTER V

### THE EFFECTIVENESS OF THE EVALUATION SYSTEM:

#### SUGGESTIONS FOR IMPROVEMENT

The greatest problem which faces the enlisted evaluation system today is the tendency of the average marks for all pay grades to become higher and higher. Contrary to what was reported earlier in this paper, that up until 1958 the marks did not tend to pile up at the high end, marks did start moving upward. As early as 1960 the marks began to move upward; all individuals tended to become over-rated.<sup>1</sup>

An examination of the performance marks at that time also reveals a pattern developing of different groups being rated on a different set of standards. That is, personnel in the deck ratings were marked in a different pattern than those in the engineering or administrative ratings. There was a considerable gap between the marks assigned petty officers of the same pay grade but of different rating or specialty.

Today the situation described above still exists and to a much greater extent. The graphs in Appendixes G to L illustrate very well these problems. The marks in general can be seen to have a high average for all ratings and pay grades. It is evident that the "average crew concept" no longer exists in reality. Also shown is the fact that personnel do not seem

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<sup>1</sup> Interview with Psychological Research Section, Bureau of Naval Personnel, January, 1966.



to be compared to others in the same pay grade; the higher the pay grade, the higher the marks. The ratings shown in the graphs in Appendixes G through L are for the boiler tender rating and the yeoman rating. It is apparent that the administrative or yeoman rating, which is closer to the commanding officer and the executive officer, is rated higher over all pay grades than is the boiler tender.

The place in which this tendency of the marks to pile up toward the high end of the scale and to decrease or narrow in range has the most effect is in the enlisted advancement system. As was pointed out in Chapter IV, all personnel except E-8 and E-9 Chief Petty Officers are selected for promotion on the basis of a combined mark or multiple. Enlisted performance evaluation marks are converted from the 0 to 4.0 scale to arrive at a possible distribution of points of 0 to 50. This maximum of 50 is part of a total possible maximum score of 180 points. This performance mark is the only factor directly determined by the commanding officer and should be an important factor in determining who is to be promoted.

The factors and maximum credit are reproduced below together with the percentage of total:

<u>Factor</u>	<u>Maximum Credit</u>	<u>Percentage</u>
Examination Score	80	44%
Performance	50	28
Total Active Service	20	11
Service in Pay Grade	20	11
Awards	<u>10</u>	<u>6</u>
	180	100%





These percentage figures are, however, misleading. No one set of figures will correctly show the relative influence of each component. This is caused by the fact that each rating group is considered separately and each group will have its own range of scores.<sup>2</sup>

Therefore, in actuality, the Navy can be pictured as having a number of independent advancement systems, one for each rate within each rating or specialty.

Mr. Hodges of the Bureau of Naval Personnel did an analysis of how the various multiple components affect the ultimate selection of the men to be advanced. The results of this analysis show the average of influences in each pay grade. Since the degree of influence is more determined by pay grades than by rating or specialty, an average of influences by pay grade is given as a good summary of the overall pattern of influences. The figures given in the table below were obtained as a result of this analysis.

TABLE 5

INFLUENCE OF COMPONENTS IN THE ADVANCEMENT  
SYSTEM BY PAY GRADE

Component	E6 to E7	E5 to E6	E4 to E5	E3 to E4	Average
Examination Score	31.7%	24.7%	32.7%	38.6%	33.4%
Performance Marks	20.4	27.9	35.0	46.8	36.0
Total Active Service	13.8	17.9	13.9	5.0	11.2
Service in Pay Grade	23.8	19.7	11.1	7.4	13.1
Awards	10.2	9.8	7.3	2.2	6.2

<sup>2</sup>Facts and figures in the following discussion were obtained from an unpublished report on the components of the enlisted evaluation system prepared by Mr. Charles Hodges of the Bureau of Naval Personnel and from discussion on several occasions in January, 1966, with Mr. Hodges.





It can be noted that total active service carries more weight as pay grade increases and that performance marks carry successively less weight as pay grade advances. This is due in part to the increasing spread of the length of service as one is advanced in pay grade, but, more important, is due to the extreme lessening of spread of performance marks with advancing pay grades. When the marks begin to bunch together at the high end of the rating scale, then the evaluation procedure becomes less and less important in determining who is to be advanced. When there is little or no spread in the evaluation marks, then there will be little or no spread in the part of the multiple which the marks control. Therefore, as a result, the actual performance of duty, which should be an important measure in determining who is best qualified to be advanced, becomes less and less meaningful. This is well illustrated by looking at the distribution of enlisted evaluation marks for YNC given in the chart in Appendix K. The spread in this case is only from 40 to 50 points, so 40 points could be subtracted from each multiple with no effect on a person's relative position. If this were done, the performance score would contribute only a maximum of 13 per cent to the final advancement multiple. This falls far short of the initial 20 per cent for which the system was originally designed.

As can be seen, this problem is most important in the higher pay grades. In the lower pay grades, up to E-4, the enlisted evaluation system seems to perform adequately the function for which it was designed. In these lower pay grades the evaluation marks have a much wider spread, and the

[illegible]

It can be seen, this position is most important in the highest pay  
London. In the lowest pay position, no one is in the position of  
where in position important, the position for which it was designed. In this  
lowest pay position the position is not a much better position, and the



average, although not at the center of the ideal average crew curve, is low enough to provide a workable spread to either side. In these lower pay grades good use is made of the currently assigned evaluation marks. Re-enlistment quality control has been improved by the Bureau's increased review of reenlistments where evaluation marks are below 3.1. Selection for advancement and selection for special programs, schools, and duty assignments are made largely on the basis of these evaluations. Here again, the evaluation marks seem to fill their designed purpose. It is in the upper pay grades that the system does not properly measure performance or job effectiveness.

During the course of the background reading and study concerning evaluation systems, methods, and rating devices, it became apparent that the rating form now in use by the Navy, the NAVPERS 792, combines the advantages and characteristics of many of the basic types of rating instruments. Probably the strongest point in its favor is that the rating form's traits were based on a thorough study and factor analysis as described earlier in this paper. The rating form is relatively easy to fill out; it resembles the graphic scale type of rating instrument in this respect. The fact that the form can be used to obtain an overall quantitative score makes it easy and rapid to compare the performance of large numbers of personnel, a definite necessity in this age of a rapidly growing Navy.

To summarize, this writer believes that the rating instrument in use today could be the basis of an effective evaluation system. The problem lies



everywhere. Although not at the center of the ideal average year course, it is  
 enough to provide a workable model in other ways. In these points the  
 system does not use its scale of the currently assigned evaluation system. The  
 adjustment greatly changed and was improved by the Bureau's personnel  
 review of nonalignment where evaluation scales are below 1.1. Evaluation  
 for advancement and subject to special programs, schools and data  
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 itself in this paper. The rating form is relatively easy to fill out in  
 accordance with the specific rating type of rating instrument in this report. The  
 fact that the form can be used to obtain an overall quantitative score makes  
 it easy and rapid to compare the performance of large groups of personnel  
 a decision necessarily in this age of a rapidly growing Navy.

To summarize, this report defines the rating instrument in use  
 today and is the basis of an advanced evaluation system. The problem lies

not so much in the form itself but in the way it is being used by commanding officers in the fleet. In trying to help their personnel to advance in rate, very high marks are assigned arbitrarily, making the evaluation process worthless. The return to an "average crew concept," if this concept could be enforced, would again make the Navy evaluation process an effective and reliable measure of enlisted performance.

I recommend two small changes in the rating instrument itself:

1. The inclusion of an additional line below the present trait rating boxes. This additional line would indicate the rank or number of the person evaluated as compared to the rest of the personnel rated at that time. "This man ranks . . . in a group of . . . men." This minor change would bring into the form the outstanding characteristic of the forced distribution type of rating instrument. This ranking would tend to force upon the command a grading on the curve or the "average crew concept." It would be readily apparent that if a man were ranked number 35 in a group of 40 and was still marked with 3.8 or 3.9 grades, something would be wrong with the marks or the command had aboard a very, very unusual group of men.

2. The elimination of narrative comments except in the case of unsatisfactory performance. The use of a narrative type evaluation is out of place in a Navy evaluation system. Narratives cannot easily be assigned a numerical grade or mark; therefore, a comparison of performance of a large number of personnel is virtually impossible. The





greatest limitation with narrative-type evaluations in the Navy is that the various personnel who fill out the forms vary widely in their writing ability and techniques. Some personnel are evaluated by senior petty officers with little or no formal education, while others are evaluated by junior officers who have just completed college. In these cases it is often the rater's ability, not the ratee's, that is recorded on the evaluation sheet.

On the present evaluation form another narrative evaluation in addition to Item 7, Evaluation of Performance, is required. This is Item 8 on the evaluation form; it must be completed to justify any mark of 4.0. This additional narrative requirement could be a possible cause of a person's being marked lower in some trait because a petty officer or junior officer did not want to spend the additional time and effort of writing a narrative justification for a 4.0 mark. This writer believes that the narrative form of evaluation has no place in an enlisted performance evaluation system except to explain the reasons for assigning unusually low or unsatisfactory marks.

The above recommendations for the evaluation form are minor. Their introduction into the fleet would pose no problems. Without the narrative parts to complete, the entire process of semi-annual evaluations would actually be accomplished more quickly and easily.

As mentioned earlier in this chapter the problem lies not so much with the form itself as in the way it is being used by commanding officers in





the fleet. For this evaluation system to be a true and reliable report of enlisted performance, the concept of the "average crew," or the use of the normal distribution curve must be enforced. This is not an impossible problem, especially in this age of automatic data processing and computers. The solution to be recommended in the following paragraphs is being used, on an admittedly smaller scale, in the Royal Canadian Navy.

The Royal Canadian Navy has an evaluation system and an advancement system that is in many respects very similar to the one presently in use in this country. There is one major difference: the Canadian system of performance evaluation is not suffering from the same ills that plague the United States system.<sup>3</sup> Marks are well distributed along a normal curve for each pay grade and rating, allowing a more realistic performance multiple to be applied to the advancement and selection processes. The following quotations from the Book of Reference, Canadian Navy illustrate how the system is made to work:

Art. 2. 14(6).

(a) The evaluation shall be initiated by the man's immediate supervisor. An "immediate supervisor" is defined as a person holding a rank at least one higher than the man being evaluated and of at least petty officer second class rank (e. g. , a chief petty officer second class may evaluate a petty officer first class but not another chief petty officer second class).

(b) The initial evaluation shall then be submitted to the man's Divisional officer. He shall review this evaluation in consultation with the man's Head of Department and Divisional Chief or Petty

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<sup>3</sup>U. S. Navy, Report of the Secretary of the Navy's Retention Task Force, Personnel Management and Quality Control Section, p. 17.





Officer making any adjustments to the evaluations that are considered appropriate.

(c) Finally the Performance Evaluation Worksheet shall be submitted to the man's Commanding Officer who shall review, adjust as necessary and approve the evaluation.

(d) The Commanding Officer shall pay particular attention to the distribution of scores within his ship's company. When more of the scale is used in evaluation it is easier to discriminate between individuals and there is greater assurance that the right men will be selected for promotion. It is recognized that when a reasonable number of men are being evaluated the majority of scores should bunch around the centre of the scale, however, there should be a significant number of scores towards each extremity of the scale.<sup>4</sup>

The above is so similar that it could be substituted for part of the performance evaluation instructions in the current Bureau of Naval Personnel Manual.

The important difference is one step further at Royal Canadian depots where the results of the evaluations are forwarded.

Article 2. 21 (6, 7, 8).

(6) RCN depots shall, quarterly, on receipt of worksheets:

- (a) calculate the Command distribution of scores on all items of the appropriate performance evaluation;
- (b) calculate the distribution of scores on all items in each unit within the Command;
- (c) calculate the distribution of scores on all items in each trade within the Command;
- (d) compare (b) and (c) with (a) of this paragraph.

(7) RCN depots shall first determine the areas of significant deviation and should then examine these areas in detail.

(8) In cases where the unit score distributions deviate beyond the limits established by Canadian Forces Headquarters, RCN depots shall review their complements to determine whether there has been selective drafting. Where it is apparent that there has not been selective drafting, depots shall make any further investigations deemed necessary and, finally, if such investigations do

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<sup>4</sup>Royal Canadian Navy, Book of Reference, Canadian Navy, Article 2. 14.

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(1) Finally the Performance Improvement Program will be rolled out to the men's Commanding Officers and Staff Officers. Subject to resources and needs the program.

[illegible]

The present discussion is one which is of great importance to the study of the evolution of the vertebrate brain.

181) Calculate the Economic Surplus in stores in \$.

of the same order as the order of the system.

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(17) B. 638 (type shell) contains the same of *Strophomena*.

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(8) The following are the names of the persons who have been appointed as members of the committee:

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Keywords: small business; social responsibility; corporate social responsibility; business ethics; corporate governance

has been selected (table 1). Where it is a possibility that there has

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various chemical compounds, these



not reveal the cause of the peculiarities, the sets of unacceptable forms shall be returned to the appropriate commanding officers for re-scoring. When possible an officer from the RCN depot shall be made available to discuss the problem with the Commanding Officer concerned. When such action is not feasible, the relevant statistical data, together with supporting written explanation, should be forwarded.<sup>5</sup>

This is the item that forces the system to work. If a unit's performance marks do not fit the "average crew concept," the commanding officer is asked to defend or modify the marks assigned. Commanding officers are not partial to having official records or correspondence returned to them as unsatisfactory. Therefore, there is high incentive to follow the "average crew concept" when the command evaluations are first submitted to the depots.

Admittedly, the computations involved in Paragraph 6 of the instructions above would entail a great amount of work in an organization the size of the United States Navy. However, in this age of punch cards and computers the task is not as formidable as might initially be thought.

A system of the Canadian type could be installed in a variety of ways at the Bureau of Naval Personnel. The use of a computer seems a necessity because of the number of evaluation sheets handled and the number of computations required. At the present time the enlisted man's duplicate service record kept at the Bureau of Naval Personnel is of the standard file-folder type. Evaluation sheets are filed in these folders as they

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<sup>5</sup>Ibid., Article 2.21.



arrive at the Bureau. If the service record files were changed to a magnetic tape computer file, the processing of evaluation marks in the manner indicated above could be programmed at the time of updating the tape file with the new evaluation marks. Whether the Bureau of Naval Personnel intends to shift its records to magnetic tape/computer is not known at this time. If the service records in the Bureau are to remain in the present file folder type of arrangement, implementation of the system described above would pose additional problems. Undoubtedly, the easiest way to process the evaluation sheets and to obtain from them the information necessary to compute the required distributions would be through the use of an optical scanner through which the evaluation sheets would be run prior to their filing in the duplicate service record. This admittedly would require both additional personnel and the use of additional expensive equipment.

This writer believes that the costs would be small compared to the benefits derived. The procedures outlined in this chapter could again make the enlisted evaluation system a true measure of a man's performance and differentiate between individuals of various levels of effectiveness and capability.

Another important aspect of performance appraisal that seems to be overlooked in the Navy is the training of the raters. The Navy man's first encounter with performance evaluation is likely to be when he is handed an evaluation form and told to complete it on a person working for him. Every





petty officer and junior officer should be trained to become familiar with the evaluation system, its purpose, the importance of proper evaluation, and the mechanics and rules and regulations of the Navy system.

#### REMARKS AND COMMENTS

This report was prepared for the purpose of providing information regarding the evaluation system in the United States Navy as it has developed and changed over the period 1914-1918 and 1919-1920, and showing the results of the system in the period 1919-1920. The system in 1919-1920 was the same as the system in 1914-1918, but the results were different.

The purpose of this report was to provide information regarding the evaluation system in the United States Navy as it has developed and changed over the period 1914-1918 and 1919-1920, and showing the results of the system in the period 1919-1920.

1. Is there a need for an efficient performance evaluation system?

2. What is the purpose of the performance evaluation system?

3. How does the evaluation system operate?

4. Does the evaluation system in the United States Navy serve the purpose for which it is being used?

5. What changes or improvements in the evaluation system should be suggested?

It was found that the evaluation system in the United States Navy was not efficient and that it was not being used for the purpose for which it was being used.

1. Is there a need for an efficient performance evaluation system?

2. What is the purpose of the performance evaluation system? 3. How does the evaluation system operate? 4. Does the evaluation system in the United States Navy serve the purpose for which it is being used? 5. What changes or improvements in the evaluation system should be suggested?

and the worldwide and also the regional of the Party system.



## CHAPTER VI

### SUMMARY AND CONCLUSIONS

This paper has examined the system of enlisted performance evaluation in the United States Navy as it has developed and changed over the years. The system as it operates today was examined critically and some suggestions for improvement were made.

The research for this paper was undertaken to find possible answers to the following questions:

1. Is there a need for an enlisted performance evaluation system?
2. What is the purpose of the present evaluation system?
3. How has the evaluation system evolved?
4. Does the evaluation system in use now effectively serve the purpose for which it is being used?
5. What changes or improvements to the evaluation system should be undertaken?

A summary of what I have found to be the answers to these five research questions can best serve as a summation of this paper.

1. Is there a need for an enlisted performance evaluation system?

A formal system of performance evaluation for enlisted personnel is a necessity. To recognize the exceptional personnel for promotion and selection to the multitude of special assignments, schools, and

## CHAPTER VI

### RESEARCH AND CONCLUSIONS

This paper has examined the growth of public policy-making in the United States from its early days to the present. The system of public policy-making has changed with the years. The system of public policy-making has changed with the years. The system of public policy-making has changed with the years.

The research in this paper has indicated that the system of public policy-making has changed with the years. The system of public policy-making has changed with the years. The system of public policy-making has changed with the years.

1. There is a need for an effective public policy-making system.
  2. What is the nature of the public policy-making system?
  3. How has the public policy-making system changed?
  4. Does the public policy-making system have any advantages?
- Research for which is in the public domain.

1. What changes in public policy-making are there?

2. Research in public policy-making is in the public domain.

Research in public policy-making is in the public domain.

Research in public policy-making is in the public domain.

programs, and to help in improving the performance of all personnel, some system of evaluation is a necessity.

2. What is the purpose of the present evaluation system?

The enlisted performance evaluation system is used primarily as an aid in selecting those personnel best qualified for promotion, school assignments, appointment to officer status, and to determine eligibility for reenlistment, type of discharge, and good conduct medal.

3. How has the evaluation system evolved?

The evaluation system began as an informal word-of-mouth system between commanding officers. A formal system based on published instructions took form in the early 1920's. It was not until the 1950's, however, that major effort and research took place, resulting in an evaluation system and evaluation form much like the one in use today. Only minor changes have been initiated since 1956.

4. Does the system in use now effectively serve the purpose for which it is being used?

The key word in this question is "effectively." The system is being used for the purposes for which it was designed. In the low pay grades the system appears to work in a satisfactory manner. In all pay grades above E-4 level, however, marks begin to bunch at the upper levels. A usable spread of marks is not available in any rating in the upper pay grades. This causes the marginal performers to slip by on promotion and selection criteria, while the truly outstanding individuals are penalized. There





appears to be widespread disfavor with the evaluation system, both by the personnel being rated and by those using the results of the evaluations.

5. What changes or improvements in the evaluation system should be undertaken?

The previous chapter has described what the writer believes would improve the enlisted evaluation system. Changes to the evaluation form are minor: eliminate the narrative rating and add a sentence giving the person's rank within the group being rated. Basically the system in use is a good one, arrived at after much experimentation and research. It merely suffers from the ill that is common to any evaluation system-- i. e. , marks are creeping higher and higher resulting in a less usable spread. The method of monitoring evaluations and enforcing the use of the "average crew concept" as used by the Canadian Navy is recommended. Strict control would eliminate the difference in standards that exist today.

The recommendations proposed in this paper are not a cure-all. As long as humans are evaluating humans some form of human error, such as the "halo" effect, will inevitably be present in any evaluation system. However, strict enforcement of guidelines such as described in Chapter IV might tend to eliminate or reduce these errors and produce a workable system.

appears to be consistent with the evaluation system, both in the  
 assessment being used and by those using the results of the evaluation.

### 3. What changes in implementation in the evaluation system

#### should be considered:

The previous chapter has described what the writer believes  
 would improve the existing evaluation system. Changes to the evaluation  
 form are necessary, including the subject's rating and a sentence giving  
 the person's rank within the group being rated. Basically the system is  
 not a good one, and it is not clear what much improvement and revision  
 is needed. From the UI that it is common to say evaluation systems  
 are not creating higher and higher ranking in a few years.  
 The method of conducting evaluation and selecting the use of  
 the system are not the same as the UI that is recommended.  
 The system would eliminate the difference in results that exist today.  
 The recommendations proposed in this report are not a cure-all. As  
 long as human and existing human resources are used, some error will be  
 the "old" error, will likely be present in any evaluation system. How-  
 ever, what improvement of evaluation such as described in Chapter IV  
 might lead to eliminate or reduce these errors and produce a workable

system.



## APPENDIXES



## APPENDIX A

## ENLISTED PERFORMANCE EVALUATION WORKSHEET

NAVPER-792 (REV. 3-56)

NAME (Last, First, Middle)	SERVICE NO.	RATE ABB.	DIVISION

## INSTRUCTIONS

1. For each trait, evaluate the man on his actual observed performance. If performance was not observed, check the "Not Observed" box.
2. Compare him with others of the same rate.
3. If the major portion of his work has been outside his rate or pay grade during this reporting period, evaluate him on what he did. Describe what he did in the "Comments" section.
4. Pick the phrase which best fits the man in each trait and check left or right box under it. (Left box is more favorable.)

(1) PROFESSIONAL PERFORMANCE: His skill and efficiency in performing assigned duties (except SUPERVISORY).

NOT OBSERVED	<sup>89</sup> Extremely effective and reliable. Works well on his own.		<sup>72</sup> Highly effective and reliable. Needs only limited supervision.		<sup>60</sup> Effective and reliable. Needs occasional supervision.		<sup>46</sup> Adequate, but needs routine supervision.		<sup>20</sup> Inadequate. Needs constant supervision.	

(2) **MILITARY BEHAVIOR:** How well he accepts authority and conforms to standards of military behavior.

NOT OBSERVED	Always acts in the highest traditions of the Navy.		Willingly follows commands and regulations.		Conforms to Navy standards.		Usually obeys commands and regulations. Occasionally lax.		Dislikes and flouts authority. Unseamanlike.	
	.								.	.

(3) **LEADERSHIP AND SUPERVISORY ABILITY:** His ability to plan and assign work to others and effectively direct their activities.

NOT OBSERVED	Gets the most out of his men.	Handles men very effectively.	Gets good results from his men.	Usually gets adequate results.	Poor supervisor.
<input type="checkbox"/>					

(4) **MILITARY APPEARANCE:** His military appearance and neatness in person and dress.

NOT OBSERVED  <input type="checkbox"/>	Impressive. Wears Naval uniform with great pride.		Smart. Neat and correct in appearance.		Conforms to Navy standards of appearance.		Passable. Sometimes careless in appearance.		No credit to the Naval service.	

(5) ADAPTABILITY: How well he gets along and works with others.

NOT OBSERVED	Gets along exceptionally well. Promotes good morale.		Gets along very well with others. Contributes to good morale.		A good shipmate. Helps morale.		Gets along adequately with others.		A misfit. —	
	.								.	.

**\*Comment is required if this box is checked.**

(6) COMMENTS: (If additional space is needed, use back of sheet)

[illegible][illegible]





# APPENDIX B

## REPORT OF ENLISTED PERFORMANCE EVALUATION NAVPER 792 (Rev. 6-59)

PERIOD OF REPORT

To

NAME (Last, First, Middle)

SERVICE NO.

RATE ABG.

PRESENT SHIP OR STATION

### INSTRUCTIONS

1. For each trait, evaluate the man on his actual observed performance. If performance was not observed, check the "Not Observed" box.
2. Compare him with others of the same rate.
3. If the major portion of his work has been outside his rate or pay grade
- during this reporting period, evaluate him on what he did. Describe what he did in the "Comments" section.
4. Pick the phrase which best fits the man in each trait and check left or right box under it. (Left box is more favorable.)

#### 1. PROFESSIONAL PERFORMANCE: His skill and efficiency in performing assigned duties (except SUPERVISORY)

NOT OBSERVED <input type="checkbox"/>	Extremely effective and reliable. Works well on his own.	Highly effective and reliable. Needs only limited supervision.	Effective and reliable. Needs occasional supervision.	Adequate, but needs routine supervision.	Inadequate. Needs constant supervision.
	*				*

#### 2. MILITARY BEHAVIOR: How well he accepts authority and conforms to standards of military behavior.

NOT OBSERVED <input type="checkbox"/>	Always acts in the highest traditions of the Navy.	Willingly follows commands and regulations.	Conforms to Navy standards.	Usually obeys commands and regulations. Occasionally lax.	Dislikes and flouts authority. Unseamanlike.
	*				*

#### 3. LEADERSHIP AND SUPERVISORY ABILITY: His ability to plan and assign work to others and effectively direct their activities.

NOT OBSERVED <input type="checkbox"/>	Gets the most out of his men.	Handles men very effectively.	Gets good results from his men.	Usually gets adequate results.	Poor supervisor.
	*				*

#### 4. MILITARY APPEARANCE: His military appearance and neatness in person and dress.

NOT OBSERVED <input type="checkbox"/>	Impressive. Wears Naval uniform with great pride.	Smart. Neat and correct in appearance.	Conforms to Navy standards of appearance.	Passable. Sometimes careless in appearance.	No credit to the Naval Services.
	*				*

#### 5. ADAPTABILITY: How well he gets along and works with others.

NOT OBSERVED <input type="checkbox"/>	Gets along exceptionally well. Promotes good morale.	Gets along very well with others. Contributes to good morale.	A good shipmate. Helps morale.	Gets along adequately with others.	A misfit.
	*				*

#### 6. DESCRIPTION OF ASSIGNED TASKS

#### 7. EVALUATION OF PERFORMANCE

#### \* 8. THESE ITEMS MUST BE JUSTIFIED BY COMMENTS IN ADDITION TO THOSE IN ITEM 7 ABOVE

9. REASON FOR REPORTING

☐

SEMIANNUAL

☐

TRANSFER

☐

OTHER

10. DATE

11. SIGNATURE OF REPORTING SUPERIOR





## 12. SERVICE SCHOOL(S) ATTENDED DURING PERIOD OF THIS REPORT

INCLUSIVE DATES	SCHOOL	GRADUATED (YES-NO)	CLASS STANDING

## 13. SPECIAL QUALIFICATIONS NOT INDICATED BY RATING OR PRIMARY NEC ATTAINED DURING PERIOD OF THIS REPORT

## 14. OFF-DUTY EDUCATIONAL ACHIEVEMENTS (USAFI, college courses, correspondence courses, etc.) COMPLETED DURING PERIOD OF THIS REPORT.



# APPENDIX C

## Sample of Evaluation Sheet for Chiefs and First Class POs

NAVPERS-1339 (NEW) 12-60

PERIOD OF OBSERVATION COVERED	TO		EXPIRATION OF ENLISTMENT	SHIP OR STATION	
ABILITY TO UNDERSTAND INSTRUCTIONS	Cannot seem to follow instructions, no matter how simple.	Understands only simple instructions. Gropes along when in doubt.	Grasps main points of most instructions. Hesitates to ask for clarification.	Correctly interprets rather difficult instructions. Asks questions when in doubt.	Understands all instructions, needs no help.
ABILITY TO SOLVE PROBLEMS	Cannot solve problems. Avoids all problems.	Solves simple problems. Stumped by routine problems.	Solves everyday problems rapidly. Solves a few of the more difficult problems.	Solves most problems, and often solves very difficult problems.	Solves any problem rapidly.
ABILITY TO PLAN AND ORGANIZE WORK	Work shows no organization or planning.	Can think of only one job at a time.	With occasional help in planning, work is orderly.	Work is generally well-arranged and usually good planning is shown.	All work is well-planned and organized.
INDUSTRY	Lazy, hides out, "gold bricker", clock watcher.	Often loaf on the job or wastes time, occasionally ducks out or avoids extra work.	Usually on the job, does his share, resents doing other's work.	Does more than his share, works hard, a plugger.	Extremely energetic, tireless, efficiently enthusiastic, full of pep.
RELIABILITY, INCLUDING RESPONSIBILITY	Utterly unreliable, usually in some trouble.	Needs to be watched, often gets out of line.	Means well, but requires guidance.	Steady, usually dependable, conscientious.	Completely reliable, needs no supervision.
BASIC TECHNICAL KNOWLEDGE AND BACKGROUND	Requires continued assistance. Entirely over-rated.	Deliciency makes present duties difficult.	Sufficient to perform satisfactorily in his present rate.	More than sufficient for present rate, ready for advancement.	Has more than enough to serve as L. D. O. or W. O.
ABILITY TO APPLY TECHNICAL KNOWLEDGE	Never uses what technical knowledge he has.	Often misses a chance to put his technical knowledge into use.	Uses technical knowledge only in routine situations.	Makes good use of general principles in most situations.	Makes maximum use of technical knowledge in all situations.
EFFORT TO INCREASE BOTH KNOWLEDGE AND TECHNICAL ABILITY	Does not care, or try to improve.	Misses many chances to learn.	Accepts but does not seek opportunities to learn.	Alert to any opportunity to improve.	Eager to improve. Always seeking more knowledge.
HUMAN UNDERSTANDING	Just cannot get along with people.	Doesn't understand a lot of his associates, not very well liked.	Gets along with most people.	Understands people, very considerate, and gets along well.	Shows keen understanding of fellow men, is liked by everyone.
ABILITY TO PROPERLY DELEGATE RESPONSIBILITY AND AUTHORITY	Never delegates responsibility or authority properly.	Needs assistance in delegating responsibility and authority.	Delegates responsibility and authority with limited effectiveness.	Makes good use of personnel, effectively delegates responsibility and authority.	Always delegates authority and responsibility most effectively.
INITIATIVE	Requires detailed orders and supervision. Shortsighted.	Seldom has an idea. Always looks to supervisor for guidance.	Makes occasional suggestions. Works out own details.	Submits numerous ideas for approval. Acts in an emergency without instructions.	Originates well thought out ideas, goes ahead on his own, exhibits foresight.
TEACHING OR INSTRUCTIONAL ABILITY	Bores and confuses everyone.	Occasionally confusing, creates little interest, lacks background.	Generally interesting but unable to simplify complex material.	Interesting, good presentation, well informed.	Creates high interest presents material very clearly; has thorough knowledge of material.
ABILITY TO BUILD OR MAINTAIN HIGH MORALE	Destroys morale, creates confusion and discontent.	Allows spirit to fall all. Men gripe and disregard his instructions.	Can maintain but seldom raises morale, men follow willingly.	Develops a good "team" feeling, generates enthusiasm.	Inspires highest morale, is an outstanding all-round leader.
EXEMPLARY CONDUCT	Leads others into trouble, a continual disciplinary problem.	Often in trouble, a poor example but not a "ring leader"	Seldom in trouble, minor difficulties only.	Sets a good example, observes regulations, maintains good record.	Sets an excellent example of conduct for all men.
PERSEVERANCE	Readily abandons or evades any but the most simple jobs.	Sticks to a difficult task only under compulsion.	Ordinarily patient and persistent, discouraged by tough problems.	Determined, seldom distracted.	Never gives up, regardless of difficulty or complexity of assignment.
MILITARY APPEARANCE	Sloppy, unkempt, slouches.	Wears uniform improperly, nonregulation, careless posture.	Presents good appearance on scheduled inspections.	Clean cut, neat, good posture.	Wears uniform with great pride, line military bearing.
NAME (Last)		(First)	(Middle)	RATE AND RATING	
				SERVICE NO.	

16-60845-1





# APPENDIX D

## REPORT OF ENLISTED PERFORMANCE EVALUATION NAVPERS 792 (Rev. 6-65) DICS-4D2-3001

PERIOD OF REPORT

To

NAME (Last, First, Middle)

SERVICE NO.

RATE ABB.

PRESENT SHIP OR STATION

### INSTRUCTIONS

- For each trait, evaluate the man on his actual observed performance. If performance was not observed, check the "Not Observed" box.
- Compare him with others of the same rate.
- If the major portion of his work has been outside his rate or pay grade
- during this reporting period, evaluate him on what he did. Describe what he did in the "Comments" section.
- Pick the phrase which best fits the man in each trait and check left or right box under it. (Left box is more favorable.)

#### 1. PROFESSIONAL PERFORMANCE: His skill and efficiency in performing assigned duties (except SUPERVISORY)

NDT OBSERVED	Extremely effective and reliable. Works well on his own.	Highly effective and reliable. Needs only limited supervision.	Effective and reliable. Needs occasional supervision.	Adequate, but needs routine supervision.	Inadequate. Needs constant supervision.
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

#### 2. MILITARY BEHAVIOR: How well he accepts authority and conforms to standards of military behavior.

NDT OBSERVED	Always acts in the highest traditions of the Navy.	Willingly follows commands and regulations.	Conforms to Navy standards.	Usually obeys commands and regulations. Occasionally lax.	Dislikes and flouts authority. Unseamanlike.
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

#### 3. LEADERSHIP AND SUPERVISORY ABILITY: His ability to plan and assign work to others and effectively direct their activities.

NOT OBSERVED	Gets the most out of his men.	Handles men very effectively.	Gets good results from his men.	Usually gets adequate results.	Poor supervisor.
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

#### 4. MILITARY APPEARANCE: His military appearance and neatness in person and dress.

NDT OBSERVED	Impressive. Wears Naval uniform with great pride.	Smart. Neat and correct in appearance.	Conforms to Navy standards of appearance.	Passable. Sometimes careless in appearance.	No credit to the Naval Service.
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

#### 5. ADAPTABILITY: How well he gets along and works with others.

NDT OBSERVED	Gets along exceptionally well. Promotes good morale.	Gets along very well with others. Contributes to good morale.	A good shipmate. Helps morale.	Gets along adequately with others.	A misfit.
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

#### 6. DESCRIPTION OF ASSIGNED TASKS

#### 7. EVALUATION OF PERFORMANCE (E-5 and above include comment on ability in self expression and command, orally and in writing, of the English language)

#### 8. THESE ITEMS MUST BE JUSTIFIED BY COMMENTS IN ADDITION TO THOSE IN ITEM 7 ABOVE

#### 9. REASON FOR REPORTING

☐ SEMIANNUAL ☐ TRANSFER ☐ OTHER

#### 10. DATE

#### 11. SIGNATURE OF REPORTING SUPERIOR





FIGURE 1  
COMPARISON BY MARKING PERIOD

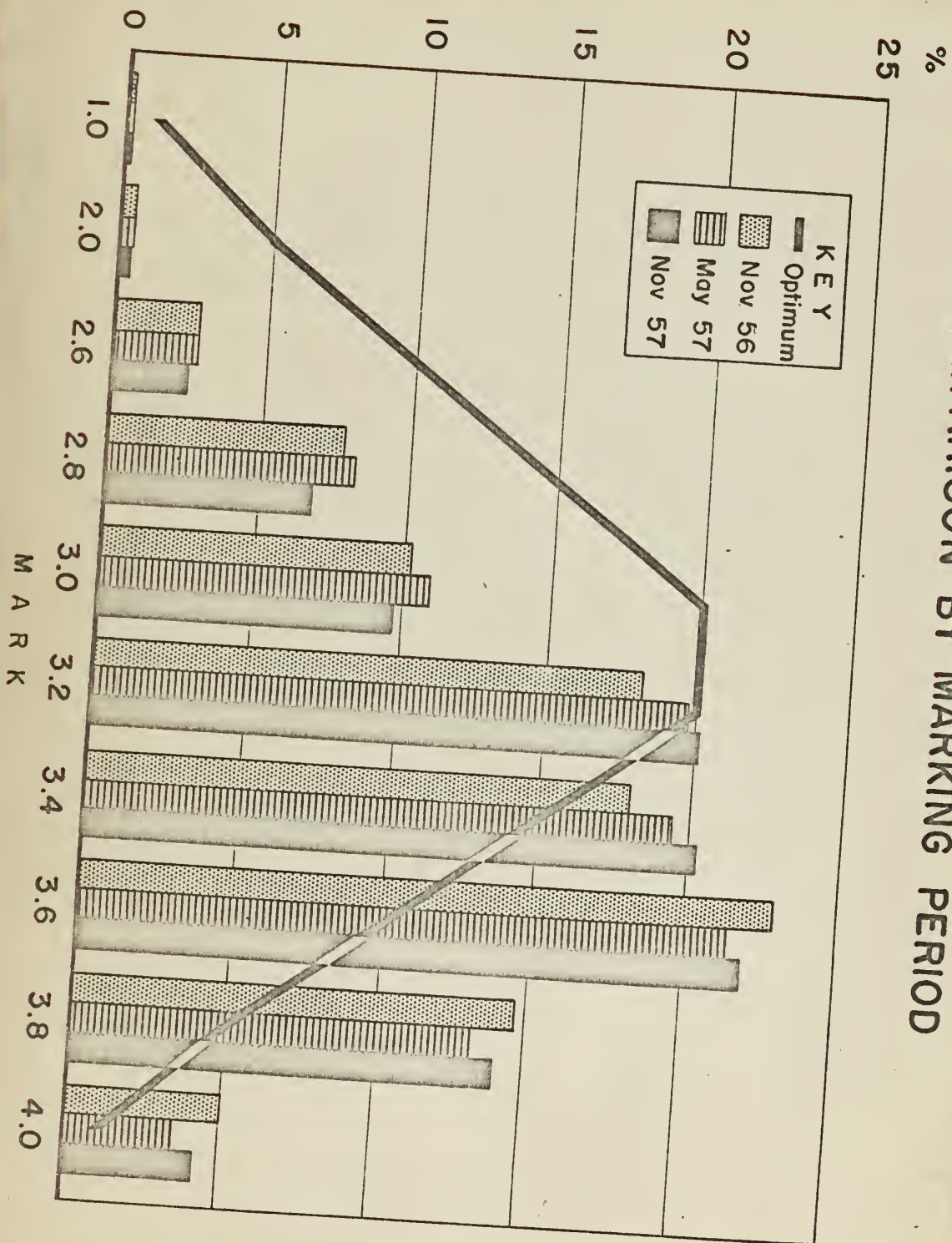
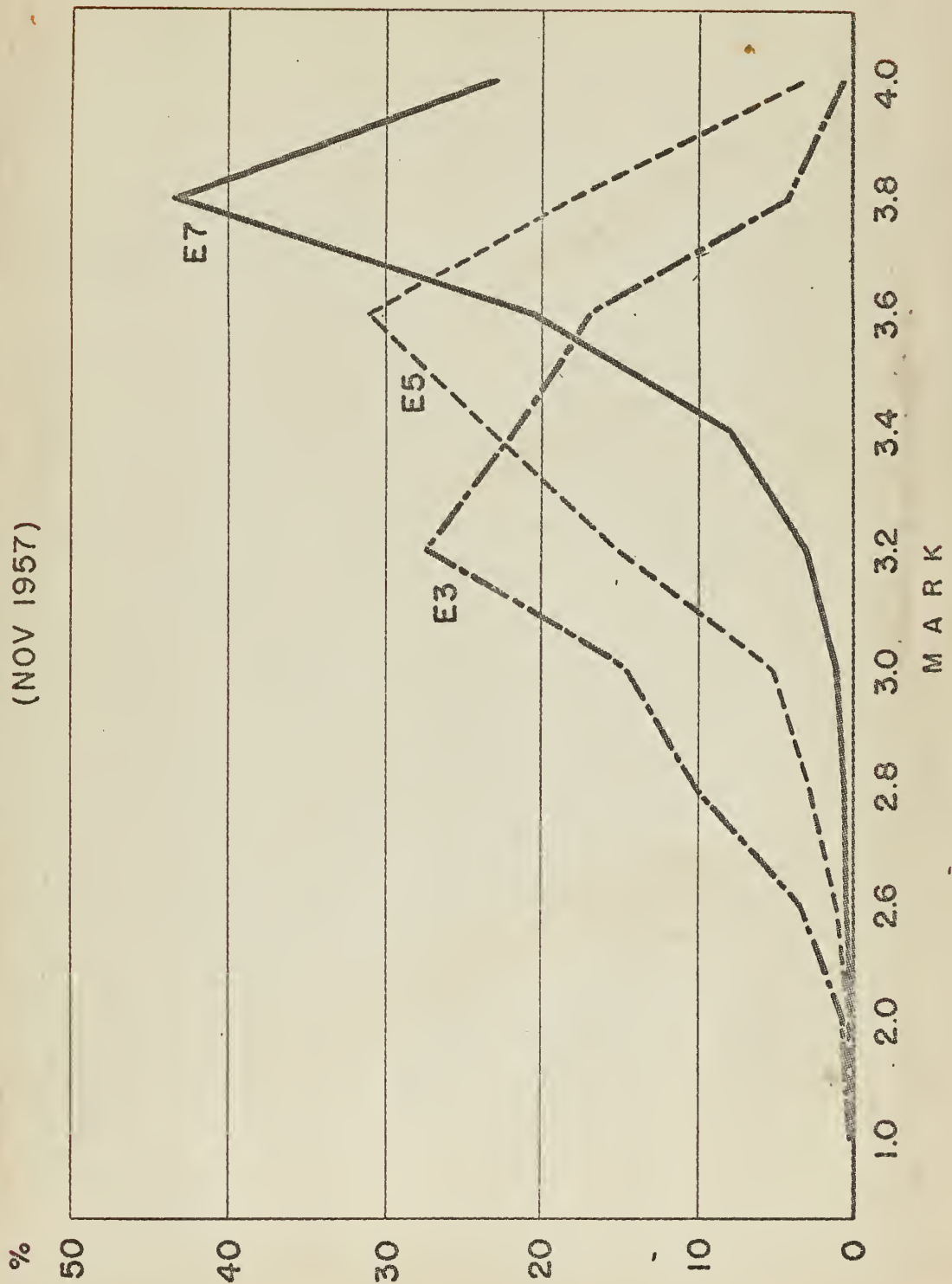




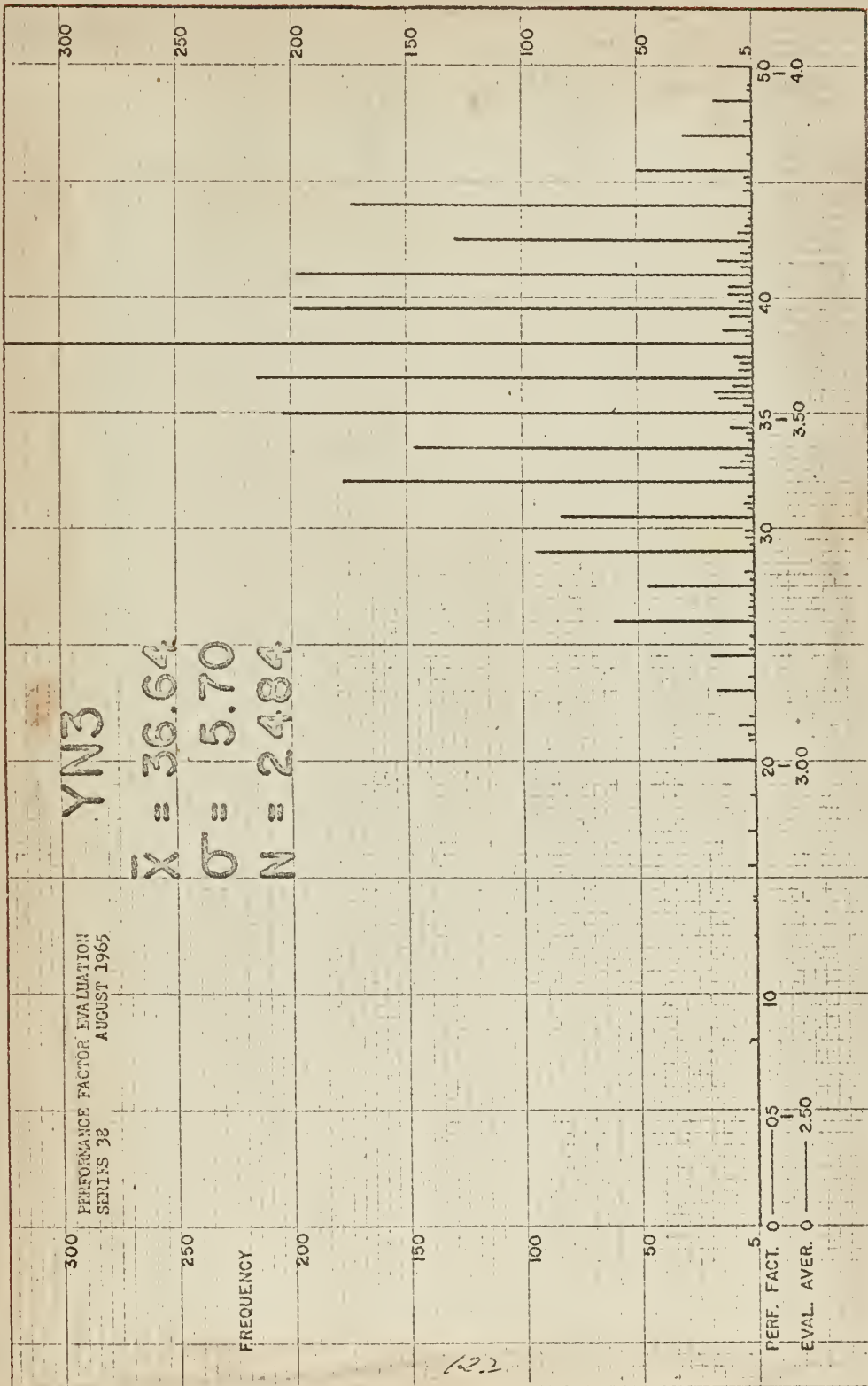
FIGURE 2  
COMPARISON BY PAY GRADE  
(NOV 1957)







# APPENDIX G



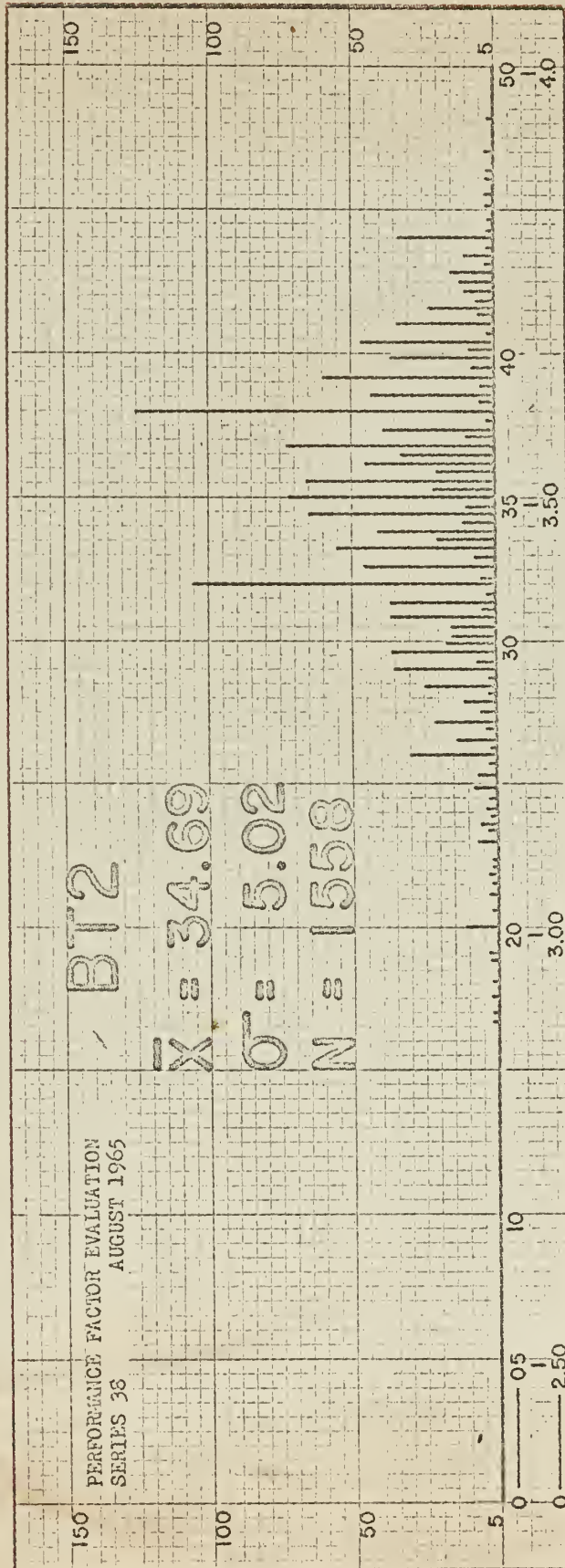








# APPENDIX I

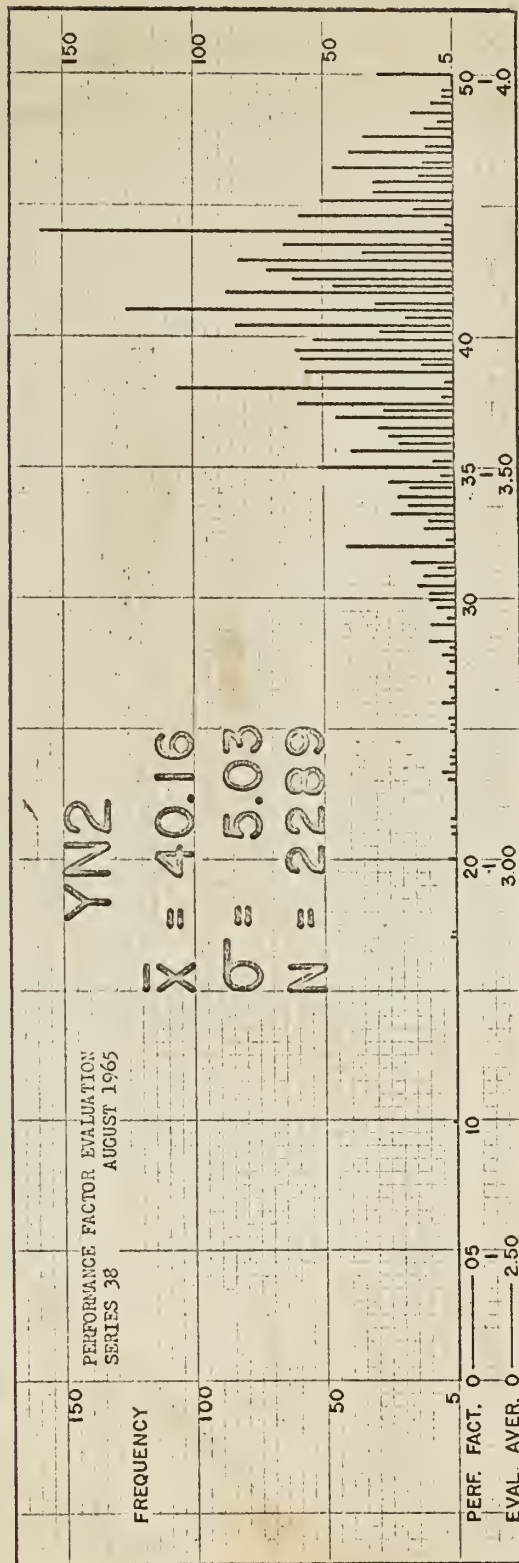


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# APPENDIX J

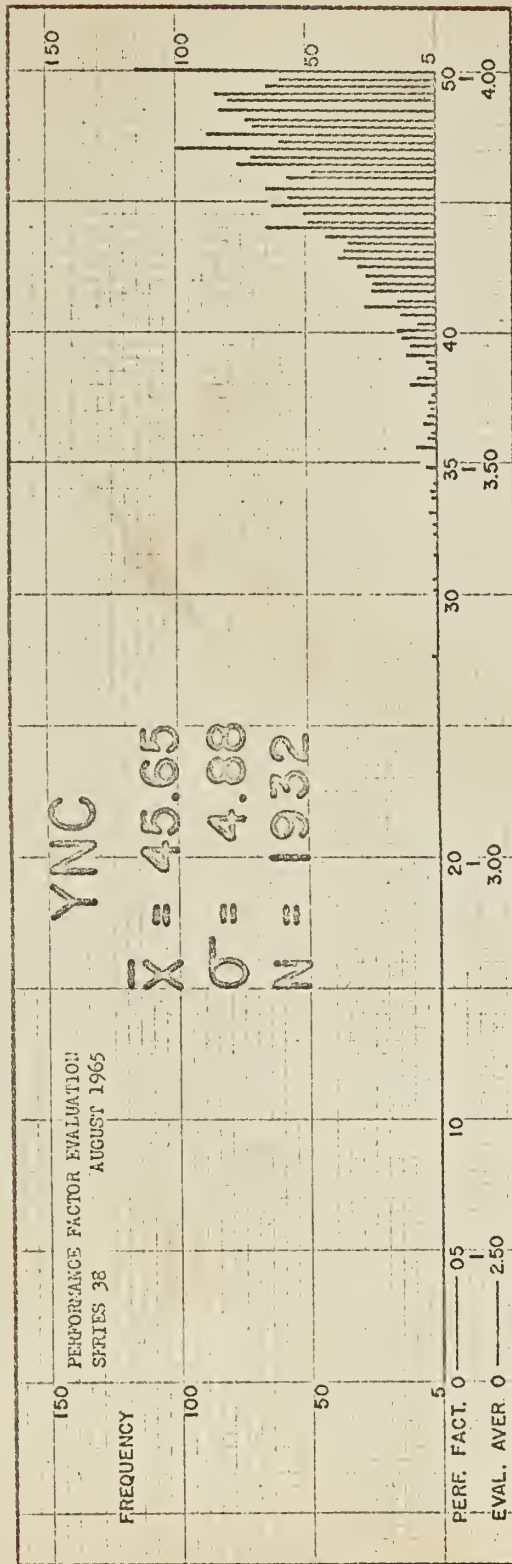


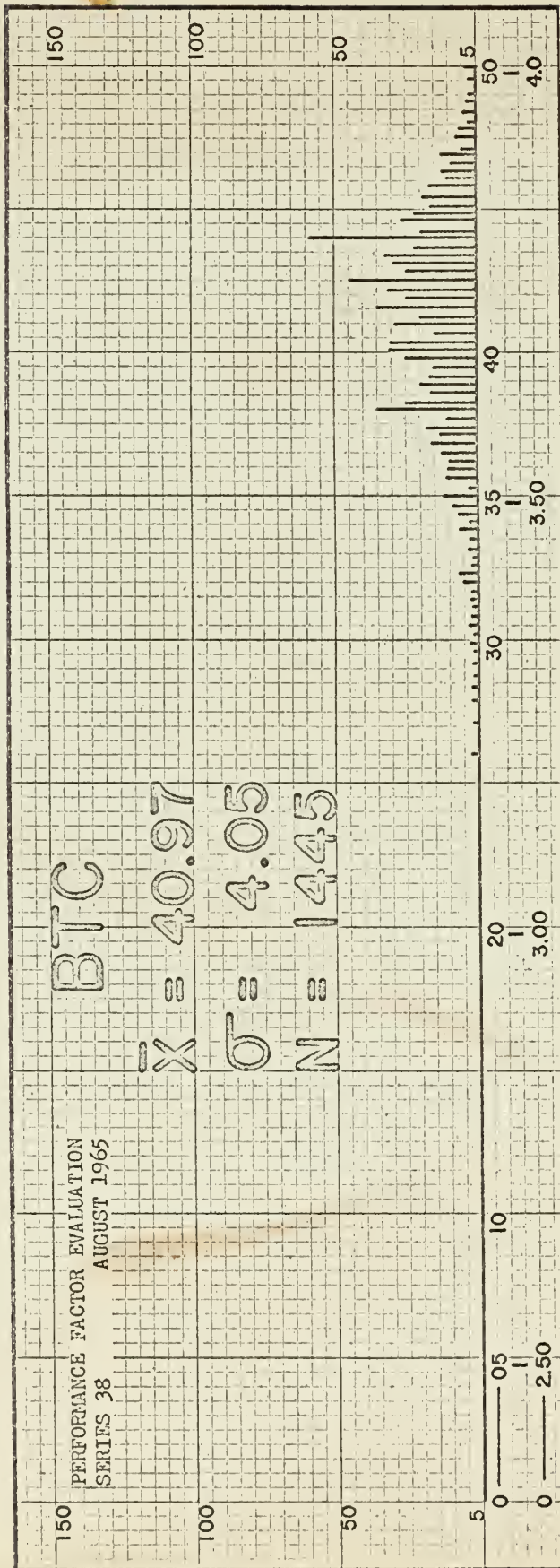
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# APPENDIX K





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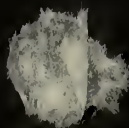
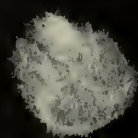
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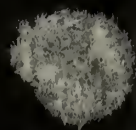
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